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ABSTRACT

This 1977 annual report of the Advisory Council on Developing Institutions summarizes the council's functions and activities, states the continuing need for assistance, defines the provisions of Title III of the Higher Education Act of 1965, and presents developments during 1977. The advisory council has assisted the U.S. Congress and the Administration in carrying out the legislative intent of Title III: to strengthen developing colleges and universities. Title III provides for a basic institutional development program and advanced institutional development program. The basic program emphasizes five principal categories of support: administrative improvement, faculty development, curriculum development, student services programs, and development programs. Grants under the advanced program are directed toward total institutional development. The following four ongoing projects under the basic program are described: freshmen studies program, Mexican American program, competency-based curriculum, and Native American program. Advanced development programs at a public community college, four-year community college, four-year private colleges, and four-year state university are also described. Findings and recommendations of the council are presented. Appendices include information on funding, the text of the authorizing legislation, and pertinent federal regulations. (SW)

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STRENGTHENING DEVELOPING INSTITUTIONS

TITLE III OF THE HIGHER EDUCATION ACT OF 1965

U S DEPARTMENT OF HEALTH
EDUCATION & WELFARE
NATIONAL INSTITUTE OF
EDUCATION

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ANNUAL REPORT

March 1978

ADVISORY COUNCIL ON DEVELOPING INSTITUTIONS

U.S. OFFICE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Washington, D.C. 20202

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

March 15, 1978

Honorable Walter F. Mondale
President of the Senate
Washington, D. C.

Dear Mr. President:

The Advisory Council on Developing Institutions herewith submits to you its Annual Report for calendar year 1977.

The Title III program, as it approaches another reauthorization period, has been the subject of close examination and serious questioning. Areas of scrutiny range from its past accomplishments--to its current operations--to its future role in American higher education. These very basic and conceptual issues, in fact, have been the prime concern of the Council during the past year.

As an Advisory Council, we have viewed our role as one of assisting the Congress and the Administration in carrying out the legislative intent of Title III: To strengthen our developing colleges and universities so that they can make needed and significant contributions to the Nation. It is in this vein in which we express our second concern--that of adequate and affirmative support for the Council itself. We urge that you review and reply to our recommendations; and we urge that the current vacancies on the Council be filled without delay.

We enthusiastically commend the Office of Education personnel for their extremely professional and competent assistance in helping the Council to carry out its functions. During a time of lack of adequate staff and administrative resources, their generosity and graciousness have been especially appreciated.

The Council sincerely hopes that this, its fifth annual report, will be of assistance to the new Administration and to Congress in our mutual commitment to developing institutions which are crucial to the diversity of our higher education system.

Sincerely yours,

Samuel M. Nabrit

Samuel M. Nabrit
Chairman, Advisory Council
on Developing Institutions

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

March 15, 1978

Honorable Thomas P. O'Neill, Jr.
Speaker of the House of Representatives
Washington, D. C.

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DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
OFFICE OF EDUCATION
WASHINGTON, D.C. 20202

March 15, 1978

Dr. Ernest L. Boyer
U. S. Commissioner of Education
U. S. Office of Education
Washington, D. C.

Dear Commissioner Boyer:

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PREFACE

Thirteen years ago Congress recognized America's critical need to assure that the benefits of a higher education be truly accessible to all.

And it acknowledged the potential help towards that goal by a group of small, isolated colleges without adequate resources but with a desire to play a constructive role in American higher education.

It created Title III of the Higher Education Act of 1965--a program of Federal assistance to strengthen and improve developing institutions.

Today, after twelve full years of operation, the program of Strengthening Developing Institutions is entering a period of reflection: A thorough evaluation of its past achievements, an intensive examination of its current policies and procedures, and a delineation of its future directions and Federal role.

Accomplishments are clear--and impressive. Our developing colleges have played a role far out of proportion to their size or numbers. They have educated distinguished men and women from a variety of racial and ethnic backgrounds. Blacks, whites, Native Americans, Spanish speaking, and other disadvantaged students--who otherwise would have been unable to pursue a college career--have graduated from developing institutions. These schools have indeed been the singular source of upward mobility for thousands of our citizens.

Perhaps of even greater significance is the diversity which our developing colleges contribute to the American higher education system. The young people of America reflect a variety of backgrounds, needs, and aspirations; we must respond with a diversity of educational programs, curricula, and experiences.

Our developing institutions offer an incredibly rich resource in this need to maintain diversity. They are located in the North and the South, in urban ghettos and rural areas; they are public and private, two-year and four-year; and they enroll high proportions of disadvantaged and minority students.

Each school has its own special commitment to cultural and moral values.

Each is a potential resource of innovation and experiment.

And each, in its own way, can help the Nation to address problems from a fresh perspective--areas such as unemployment, energy conservation, protection of the environment, urban redevelopment, and transportation.

It is this diversity which gives American higher education its stability and vitality. We must protect and nourish it at all costs.

President Carter's Administration has pledged a commitment to equality and excellence in education. Our developing institutions, with their limited resources, have contributed brilliantly and enduringly to these twin goals. These colleges must now be rooted even more deeply into our Nation's heritage so that their objectives and their efforts can be brought to full fruition.

THE COUNCIL--ITS FUNCTIONS AND ACTIVITIES

Purpose and Functions

The Advisory Council on Developing Institutions is established by Section 303 of the Higher Education Act of 1965, as amended, to assist the U. S. Office of Education in carrying out the Developing Institutions Program under Title III of that Act. The Council is responsible for advising the Congress, the Secretary of Health, Education, and Welfare, the Assistant Secretary for Education, and the Commissioner of Education. Section 303 specifies that functions of the Council shall include assisting the Commissioner in (1) identifying developing institutions through which the purposes of the program may be achieved, and (2) establishing the priorities and criteria to be used in making program grants.

Section 303 further provides that the Council consist of nine members appointed by the Commissioner with the approval of the Secretary of Health, Education, and Welfare. It is governed by Part D of the General Education Provisions Act and the Federal Advisory Committee Act which set forth standards for the formulation and use of advisory committees.

In spite of this legislative requirement for a nine-member Council, a serious situation has developed over the past year. All nine positions were filled as of January 1, 1977. However, the terms of three members expired on March 15, 1977; and one member resigned effective December 31, 1977. Since none of these vacancies has yet been filled, the Council has been left to operate at just slightly over one-half its authorized strength. To make matters even more critical, the terms of three of the remaining five members will expire on March 15, 1978, leaving only two of the nine positions, or just over twenty percent, filled.

Needless to say, unless new members are appointed immediately to fill these vacancies, the Council will become inoperative. Two members cannot act officially as a Council; nor would they have the resources to carry out the broad range of functions and responsibilities assigned to it. In fact, regulations require that a "quorum" shall be a majority of the authorized membership (as distinct from the appointed membership), meaning, of course, that a quorum for the Title III Council would be five. Such delays in reassignments to the Council also preclude that degree of continuity which is so necessary to effectively carry out the objectives of the Council.

Because of its grave concern over this issue, the Council has included a finding and recommendation on the problem in this Annual Report.

Meetings

The Council is required to meet at least twice each year with sessions open to the public. Following is a list of meetings of the Council which were held during calendar year 1977.

January 6 and 7, 1977
Federal Office Building No. 6
400 Maryland Avenue, S. W.
Washington, D. C.

March 4, 1977
Regional Office Building
7th and D Streets, S. W.
Washington, D. C.

November 29 and 30, 1977
HEW North Building
330 Independence Avenue, S. W.
Washington, D. C.

The Advisory Council continues to be gratified by the impressive public attendance at its meetings. During 1977 this involved representatives from four-year and two-year, public and private, institutions; higher education associations and organizations; other Federal agencies; and interested citizens. The Council is most receptive to their participation in the discussions, and views their various perspectives and particular insights as valuable contributions in maintaining an open dialogue in the operation and goals of Title III.

Activities and Areas of Special Attention

The major concern to which the Council addressed itself during 1977 was the future of the developing institutions program. Specifically, it pursued such issues as (1) continued funding for institutions which are approaching the termination of their Advanced Program grants; (2) strategies for funds replacement at developing institutions; (3) the over-all need for institutional assistance to higher education; (4) the appropriate Federal role; and (5) alternative proposals for support such as endowments.

A second matter of concern was the role of the Advisory Council itself--its functions and responsibilities, its structure and composition, its operating procedures, and its uncertain future in view of the current delay in appointing new members as vacancies occur.

Other areas examined by the Council in 1977 included (1) status of revisions in Title III regulations; (2) an update on monitoring and evaluation activities, including attempts to define and identify "developing institutions"; (3) the grants initiation, maintenance, and review process for Title III; (4) functions and organization of consortia under both Basic and Advanced Programs; (5) status of Statewide higher education desegregation plans; (6) special statistical reports on Title III; and (7) reports on other Federal higher education programs such as Graduate and Professional Opportunities for Minorities under Title IX of the Higher Education Act.

The Advisory Council attended a meeting of the National Advisory Committee on Black Higher Education and Black Colleges and Universities when they reviewed a recent study of the Title III program into which the Council had no input.

THE CONTINUING NEED FOR ASSISTANCE

American higher education today bears an enormous responsibility, unprecedented in human history--the goal of equal educational opportunity for all.

And in meeting this responsibility, it must play a dual role: That of preparing students for successful vocational careers; and, just as importantly, that of providing them with the educational experiences and values which will enhance and enrich their lives.

Our colleges and universities have met this challenge valiantly and effectively. They have made significant contributions not only to individual achievement but to national progress as well. During the great rebirth of the 1960's, especially, our institutions began to open their doors to citizens who for so long had been locked out.

Some statistics on college attendance by blacks and other minority groups are both enlightening and sobering:

- In 1965, only ten percent of black citizens aged 18 to 24 were in college. By 1975, that percentage had more than doubled to 21 percent. But it is still too far behind the 27 percent for white students.

- Between 1973 and 1975, the number of black students awarded Ph.D's each year increased by 33 percent. Even with that progress, in 1975 fewer than four out of every hundred new Ph.D's were black.

- Spanish surnamed Americans comprise 4.6 percent of the population but only 2.1 percent of postsecondary enrollment.

- Native Americans make up .4 percent of the population but only .23 percent of higher education enrollment.

Statistics also demonstrate the beneficial effects of postsecondary education on employment opportunities for minorities:

- Among 16 to 24-year-olds who were members of a racial minority in 1975, some 28.5 percent with a high school education were unemployed compared to 13.5 percent of those with one to three years of college.

All institutions of higher learning currently face a financial crisis of severe proportions. Inflation and rising costs, coupled with changes in enrollments, have forced many schools--even our wealthiest and most prestigious--to operate at a deficit, to curtail services, to raise tuition, or even to invade their endowments.

The impact of this is even more intense for the smaller, poorer, more isolated colleges. They have little or no endowments, gifts, or sources of grants. Many Federal programs are out of their reach due to shortages of staff and excessive teaching loads. Their faculty members have little opportunity to conduct the research and other scholarly activity which are necessary for their professional development. This in turn precludes them from participating in the type of creative research which attracts Federal contract and grant support. In fact:

- Only 9.4 percent of the total revenues of developing institutions comes from Federal sources, compared with 15.7 percent in the total collegiate sector.

- Developing colleges, while representing one-third of the Nation's 3,000 higher education institutions, hold only a little more than one percent of the Nation's total endowment assets.

One final statistic underscores the desire and the willingness of developing institutions to assume their role as equal partners in the enterprise of learning:

- Since the inception of the Title III program, developing institutions have requested assistance totaling over $3.3 billion, compared with $728 million, or 22 percent, that has been available for project support.

The need is evident--and critical.

WE MUST continue our efforts to provide equal access to postsecondary education. Every deserving American student should have an opportunity for a quality college education. Developing institutions have been instrumental in providing this access to thousands of disadvantaged youth, and these schools represent a vital national resource if we are to fully achieve this goal.

WE MUST maintain the positive, forward momentum that has been provided by the Title III program in order to protect the investments that we have made over the past decade.

AND WE MUST preserve that diversity which has characterized our academic heritage in American higher education. We need our large universities and our prestigious graduate and professional schools; but just as critically we need our community colleges and our small four-year schools in urban ghettos and rural areas. Only with such diversity can we truly meet the individual needs of our citizens with their many races, their many talents, and their many aspirations.

PROVISIONS OF TITLE III

Title III of the Higher Education Act of 1965 authorizes "a program of special assistance to strengthen the academic quality of developing institutions." The law specifies that 76 percent of each year's appropriation be used for four-year colleges and 24 percent for two-year colleges.

To determine whether a school meets the definition of "developing institution", both quantitative and qualitative criteria are applied. Quantitative factors include such items as enrollment, percent of faculty with graduate degrees, faculty salaries, percent of students from low-income families, total educational and general expenditures, and numbers of library volumes. Qualitative measures include, for example, the academic standing and progress of students, professional quality of personnel, and institutional vitality and viability (using such factors as fund raising and planning capabilities and the institutional development plan).

Basic Institutional Development Program

The Basic Program emphasizes the development of institutional strengths in five principal categories of support--administrative improvement, faculty development, curriculum development, student services programs, and development programs--in one of the following forms: (1) Cooperative arrangements between the developing institutions and stronger colleges, universities, and organizations. (2) National Teaching Fellowships awarded by developing institituions to junior faculty and graduate students from other institutions to teach at developing colleges. (3) Professors Emeritus Grants awarded by developing institutions to retired professors or other skilled higher education personnel to assist in teaching, conducting research, and providing other professional services.

Advanced Institutional Development Program

The Advanced Program, first implemented in fiscal year 1973, provides grants to developing institutions with a potential for accelerated development to expedite their progress towards achieving both operational and fiscal stability and participation in the mainstream of American higher education.

Whereas the Basic Program emphasizes the development of strengths in the five principal categories of instructional support, the Advanced Program is a major effort in total development.

In selecting institutions, priority is given to the following objectives: (1) Provision of training in career fields in which previous graduates of developing schools are severely under-represented. (2) Addition of substantial numbers of graduates prepared for emerging employment and graduate study opportunities. (3) Development of more relevant approaches to learning. (4) Development of new or more flexible administrative styles. (5) Improvement of institutional effectiveness so as to increase fiscal and operational stability and improve academic quality.

The strategy is that the significantly larger size grants will accelerate the institutions' development, and that multi-year commitment of funds will enable schools to plan their resource allocations more effectively.

DEVELOPMENTS DURING 1977

BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

Some 190 developing institutions enrolling over 370 thousand students received a total of almost $52.5 million in Title III Basic Institutional Development Program grants during fiscal year 1977. Thus a grand total of over $471 million has been made available to 635 developing colleges under the Basic Program during the twelve years of Title III (fiscal years 1966 through 1977).

A review of fiscal year 1977 awards under the Basic Program by type of institution shows that funds were distributed as follows: Private four-year institutions, 51 percent; public four-year institutions, 25 percent; public two-year institutions, 20 percent; and private two-year institutions, 4 percent. In that same year, predominantly black colleges received 48 percent of the funds, and predominantly white colleges, including those with programs for Native Americans and Spanish-speaking, were allocated 52 percent of the funds. Within this latter allocation, almost $4.9 million was granted to 27 developing institutions for programs serving large numbers of Spanish-speaking students; and over $4.2 million was awarded to 23 developing schools for programs with high proportions of American Indian students.

Appendices B through L provide more detailed statistical data on Title III, including the types of schools and programs supported, as well as information on State distributions of funds awarded and numbers of grantee institutions.

The major thrust of the Basic Program has been to help institutions develop the basic strengths needed to attain secure status and vitality. To do this, Title III funds have been granted for programs in faculty growth, curriculum improvement, administrative development, and student services. Although the Basic Program grants have represented a small portion of an institution's operational budget, they have aided significantly in meeting immediate and fundamental needs. The greatest impact has resulted from in-depth emphasis on the following kinds of efforts:

(1) Increasing enrollments through the establishment of recruitment and admissions offices and the training of financial aid officers.

(2) Improving student services through the development of counseling and guidance programs and the appointment of placement officers.

(3) Enhancing the curriculum by introducing special programs in reading and teaching the disadvantaged and by providing opportunities for cultural enrichment.

(4) Linking undergraduates with graduate institutions to improve readiness for graduate school through cooperative arrangements and student and faculty exchanges.

(5) Increasing the number of faculty with doctorates through programs in faculty development utilizing National Teaching Fellows and Professors Emeriti.

(6) Establishing development offices to improve fund-raising capability and income resources.

In order to illustrate the kinds of accomplishments and progress made by developing institutions under the Basic Program, the following descriptions of four ongoing projects are provided.

Freshman Studies Program

An institution in the South is using its Title III grant to develop a comprehensive Freshman Studies Program. The program is assisting freshman students to overcome their educational deficiencies, develop their intellectual awareness and self-confidence, and recognize their capacities for choosing and shaping the quality of their lives. The program is designed to serve an entire freshman class of 300 students. The long-range goal of the program is to transform the freshman curriculum into an interdisciplinary thrust that will address remedial, general, and advanced activities.

Specific objectives for the first year of the program include: (1) Development of course materials in English, mathematics, social sciences, and natural sciences; (2) development of special materials in music and art; (3) establishment of a drama department; (4) providing a comprehensive program of student counseling services; (5) providing cultural enrichment experiences; and (6) establishing a study laboratory and a reading laboratory for freshmen.

Activities include special training workshops, the development of course materials in each academic discipline, and the incorporation of a career education services component into the freshman counseling program.

It is expected that the program will reduce the attrition rate of freshmen, increase freshman grade point average, and provide professional development experiences for the freshman studies faculty.

Mexican American Program

An institution in the Southwest is using its Basic Grant to strengthen its instructional offerings in order to better serve the needs of its Mexican American students.

Curricula are being developed to assist border students to identify, develop, refine, and exploit areas of strength drawn from both the Anglo American and Mexican cultures, with emphasis on those strengths that are indigenous to the American experience.

An Office for Improved Instructional Strategies has been established to: (1) Initiate curriculum development through the Campus Curriculum Committee and assist faculty members involved in the process; (2) serve in the areas of translation, media, tutoring, and assessment; (3) develop individualized supplemental materials for developmental reading and writing that will be coordinated with freshman courses which have had a high attrition rate; and (4) expand the Spanish and English-as-a-second-language curricula to include specific career areas.

Competency Based Curriculum

A two-year public community college with both general education and vocational education programs is focusing its Title III support on formulating and implementing a Competency Based Curriculum Development and Assessment Technique.

The current instructional approach of the college is highly lecture-oriented. The competency based approach is a media and experimental-oriented system more accommodative to the underprepared student and to diverse learning styles. The institution intends to "fit its curriculum to student needs" rather than "fit the student to the curriculum."

The first year goals of the program are to conduct a systematic analysis of the institutional mission, and to develop an evaluative system for the assessment and recording of student entry level skills as well as system and techniques for determining student progress toward competence. These goals are being achieved through a Competency Based Education Task Force and an Office for the Development of Student Appraisal Techniques.

The Task Force will coordinate with at least two departments of the college in translating competencies into educative competency statements involving knowledge, skills, and attitudes. One area will be in the general studies program (science with emphasis on astronomy and physiology) while the other will be a vocational technical program (secretarial sciences). The Task Force will work with faculty committees in the construction and writing of learning objectives and measurement systems to implement models at the classroom level. After developing expertise in initial programs the school plans to expand the program to other courses.

Native American Program

An Indian two-year public institution is working with a private liberal arts college to move more into the traditional liberal arts field. Each college complements programs of the other with benefits

accruing to many of the Indian students. The two colleges are only minutes away from each other. The Indian students, who in prior years quit after their second year, now transfer to the four-year college for their junior and senior years.

The four programs supported by Title III consist of Administration, Developmental Studies, Curriculum Development, and Student Services.

The Administration activity is directed toward managing and coordinating programs among the administrative officials, the faculty, and the students of each college. The Developmental Studies program encompasses English reading and writing and mathematics at the two-year college as part of the institution's Learning Center Program. A Learning Center Program is also in operation at the four-year institution which has a large Black enrollment.

The Curriculum Development program supports a National Teaching Fellow in mathematics, a computer science program including courses in computer programming, independent study in computer science, assistance in the traditional courses, and college support services. The Student Services program provides counselors to the Native American and Black students at each college as well as support programs such as pre-admission and orientation.

ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM

The Advanced Institutional Development Program was implemented in fiscal year 1973 to accelerate development of a few developing institutions which are at a relatively advanced stage and for which a large input of Federal funds over several years will move them rapidly towards self-sufficiency.

During the first five fiscal years--1973 through 1977--144 developing colleges located in 36 States were awarded $257.5 million in Advanced Program grants.

Eighty-nine new awards and four consortia totaling $58 million were made during fiscal year 1977. The consortia provided technical assistance as well as training of development officers. Of the 89 new awards, 63 are four-year institutions and 26 are two-year colleges; and 41 are public institutions and 48 are private colleges.

An analysis of Advanced Program funds benefitting minorities over the four years shows that almost $134 million has been made available to predominantly black institutions. Also, over $12 million has supported programs for Spanish-speaking persons, and more than $2 million has funded programs for Native Americans.

The following four examples have been selected to illustrate the ways in which the institutions participating in the Advanced Program are addressing their high priority needs and are focusing on total institutional development.

Each of the funded programs described is related to the institution's mission and establishes means for achieving short or long-term institutional goals set by the grantee. Moreover, the activities are coordinated in such a manner with ongoing activities that they complement each other and provide a comprehensive institutional effort at total development. Each institution includes among its activities a planning, management, and evaluation activity which is designed to develop a system of comprehensive information gathering and analysis that will allow top management to focus attention upon policy questions, long-range planning, and determination of resource allocation. No one of the activities in and of itself would substantially develop the grantee college. Viewed in the context of the

present strength and activities of the college, however, the three to five year Advanced Program grants hold promise that the schools will have been provided a substantial push toward the academic mainstream.

Public Community College

A public community college in New England is targeting its Advanced Program funds on educational services for its disadvantaged students. The students are primarily from a large, decaying urban city and an economically depressed fishing town.

Improvements are being made in three areas. (1) In academic development, the faculty is designing courses in modular units which are offered to students in three learning formats--personalized instruction; community-based option including internships and local workshops; and traditional classroom setting. (2) Student development activities include individual assessments of learning styles for course selections, career exploration workshops, and intensive job placement services. (3) In institutional development, a research and planning office has been established; and an organizational plan, an operational information system, and a program evaluation system are being developed.

The program should result in more disadvantaged students successfully completing college, obtaining employment in jobs related to their training with promise of upward mobility, and continuing academic careers at higher levels.

Four-Year Private College

A four-year private liberal arts college in the Midwest has, among its objectives, the attraction of minority populations to its student body and the provision of a diversity of programs on its geographically isolated campus.

The college is using its Title III grant to implement more rapidly its long-range plan and to move itself into the mainstream of higher education.

The Career Development Program is an attempt to more directly relate the liberal arts curriculum to the world of work, to help students become aware of their career options and assist them in gaining meaningful career experiences and ultimate placement, and to better utilize the many external resources which are available to the college for academic programming. This career development concept will be further extended and integrated into the total college program.

Additional areas of emphases include (1) expansion of direct services to students to help them develop their potential and capacity for academic, social, and career success; and (2) improvement of planning, management, and evaluation systems.

Four-Year State University

A State university in a large Southern city is seeking to continue its growth as a multi-cultural institution and to improve concomitantly the quality of its academic programs and its administrative capabilities.

The university's Title III funds are supporting five major interrelated components essential to advanced development: An Administrative Improvement Program, Student Personnel Services, a Center for Urban Affairs, University Relations, and Career Education for Faculty.

The Center for Urban Affairs is developing new courses to prepare students for employment in urban areas, providing internships to make students aware of the urban community, conducting research to identify community needs, and providing the expertise and resources of the university to the community.

Closely related to the Center is the New Careers Program which is providing new opportunities for students to enter fields in which the university's alumni have been severely under-represented. Examples are environmental science, speech pathology and audiology, health careers, mass communications, meteorology, geology, legal studies, public administration, and historical preservation.

The Career Education Activity for Faculty is oriented toward helping faculty members increase their knowledge and experience in occupational careers so that they can relate their instruction practically to meaningful career-related skills. Included are inservice experiences in business, industry, and public agencies; exchanges between faculty and personnel in industry; and on-campus workshops, seminars, and institutes.

Four-Year Private College

A four-year private liberal arts college in a populous Mid-Atlantic region has identified three major goals: To provide a baccalaureate program which serves a student population reflecting the demographic, socioeconomic, and educational diversity of its geographic location; to integrate the liberal arts tradition with career-oriented programs; and to provide student-centered services.

The Freshman Core Program includes an interdisciplinary studies curriculum which stresses the skills needed for learning. Professors from the areas of mathematics, science, social sciences, and humanities offer a wide variety of educational experiences to meet diverse student needs, such as innovative programs and individual instruction.

The Life/Learning Program provides assessment of non-traditional learning gained by older adults who have been exposed to college-level learning through industrial and managerial training programs, adult education, private study, and work experience. The program insures that formal academic credit is given for such nontraditional learning and is granted on the basis of sound academic standards.

Other areas of support are Life Planning Seminars, a Learning Resource Center, an Office of Academic Advising, Career Counseling, and a Planning, Management, and Evaluation System.

FINDINGS AND RECOMMENDATIONS

The Advisory Council on Developing Institutions herewith submits its Findings and Recommendations.

In view of the fact that the Council has not yet received a reply, either directly or indirectly, to the recommendations contained in its 1976 Annual Report, those recommendations are repeated herein. Where appropriate, they have been updated and/or incorporated with new recommendations for this current report.

The Council urges that both the Administration and Congress give serious and immediate attention to these recommendations, and that the necessary legislative and administrative actions be taken for their implementation.

The Advisory Council enthusiastically solicits responses to its recommendations from members of Congress, the Secretary of Health, Education, and Welfare, the Assistant Secretary for Education, and the Commissioner of Education. It also welcomes reactions from any interested organizations and individuals.

The Council understands that the Department of Health, Education, and Welfare and the Office of Education are currently undertaking two review processes for Title III--development of proposed legislation since the program's authorization expires at the end of fiscal year 1979, and revision of the regulations under which the program currently operates. The Council hopes that these recommendations will be reflected as appropriate in the proposed legislation, in the new regulations, and in any other program guidelines issued by the Office.

I. FINDING

The Council reaffirms its commitment to the Title III program which has made significant improvements in the academic quality of developing institutions. Currently some 350 colleges and universities, with high percentages of disadvantaged and minority students, are direct recipients of Title III grants, and are using these funds to strengthen their faculty, their curricula, their student services, and their

administration. In addition, over 200 other institutions are benefiting through their participation in bilateral and consortia arrangements with schools that are direct recipients of Title III funds. The Council stresses the critical need to continue these efforts.

The Advisory Council commends both Congress and the Administration for their financial support of the Title III program. President Carter, shortly after taking office, recommended an additional $10 million for fiscal year 1978, bringing the program to full funding of its $120 million authorization. Congress approved this amount, and authorized the program to operate at that level in the Continuing Resolution which is effective for the Office of Education for the remainder of fiscal year 1978. The President's Budget for fiscal year 1979 proposes to continue full funding of the program at $120 million.

The authorization for Title III will expire on September 30, 1979. The Administration, therefore, is in the process of developing legislative proposals for transmittal to Congress during this Session.

RECOMMENDATION

(1) That the Congress support, as an immediate priority, the funding of Title III in fiscal year 1979 at its full authorization of $120 million. (2) That the Administration and Congress support a legislative amendment to extend and increase the Title III annual authorization to at least $200 million by fiscal year 1980 and for each succeeding fiscal year.

II. FINDING

The Council continues to recognize the wide diversity in developing institutions--in their organization, in their financial support, in their curricular offerings, in their accreditation, in the qualifications of their faculty, and in the needs of their students. So, too, are their stages of development diversified and intricate.

The Office of Education, within its limited resources, has been responsive to this multiplicity of need. For example, it has established and maintained two individual program thrusts under Title III--the Basic and the Advanced--to provide the kind of specialized help needed by institutions at various stages of development.

New areas of need for specific types of assistance are constantly emerging. The following are illustrative: (1) New institutions, especially those serving special needs and clientele such as Native Americans and Spanish-speaking, are seeking aid from the Basic Program. (2) Some colleges which are now in the Basic Program could, with larger grants, accelerate their development to a level where they could qualify under the Advanced Program. (3) Other schools qualify under the Advanced Program but, because of their limited strength or capacity, require smaller grants than those usually awarded under the Advanced Program. (4) Some of the first institutions under the Advanced Program are reaching the end of their grant periods but continue to exhibit varying degrees of need as they approach a mature stage of development.

Thus, it is imperative that Title III provide a variety of types of assistance and sizes of grants, as well as flexibility in program administration, so that the program can continue to respond to this multiplicity of need.

RECOMMENDATION

(1) That the Administration continue its support of both the Basic Institutional Development Program and the Advanced Institutional Development Program; and that, based on institutional needs in any given year, there be a reasonable balance of support between the two. (2) That the Office of Education exercise the needed flexibility in administering Title III, and that it explore various alternatives to meet special needs such as (a) expanding the Basic Program or establishing an intermediate program to provide larger grants for those institutions on the fringe of qualifying for the Advanced

Program, (b) expanding the Advanced Program to provide smaller grants for schools which lack the capacity for effectively utilizing larger sums, and (c) allowing institutions which complete their Advanced Program funding period to reapply for the specific type of assistance that may be needed so long as they continue to meet the requirements of the law.

III. FINDING

A continuing major concern of the Council is the future of those institutions participating in the Advanced Program as they approach the end of their grant periods.

Their plight relates directly to the basic philosophy of Title III; That one of our national priorities is to help developing institutions take their rightful place in the educational arena, and to do this we must assure that these schools have been given every opportunity to be self-sustaining.

The Advanced Program has provided a concerted effort to move a few schools, which are already at somewhat advanced stages, rapidly toward self-sufficiency. But despite the accomplishments and accelerated development that have resulted, the notion that such aid, in and by itself, will automatically bring these institutions to a stage of "full maturity" and financial independence is entirely unrealistic. We must keep in mind that many of these schools have been struggling and bearing the national responsibility of educating disadvantaged youth for a century, and we cannot assume that a few years' support in specific areas of program development will necessarily bring them to complete self-sufficiency. Many of them have little or no public support or sources for endowment building or other contributions.

Therefore, it is not surprising that many Advanced Program institutions are encountering unavoidable difficulties in meeting the fund replacement requirement. Section 169.34 of the Regulations provides that an institution must submit with its

Advanced Program application an outline of a long-range (five year) plan which must include a general strategy for replacing its Title III funds by the end of the grant period.

The Advisory Council finds that the three- or five-year "up and out" concept is an administrative procedure which has proven to be ineffective, and that the fund replacement requirement is entirely unrealistic. It further believes that we should not jeopardize the financial investments that we have already made in these schools when some additional, and in many cases relatively small, assistance is needed.

RECOMMENDATION

That the Office of Education immediately eliminate the fund replacement requirement from the Advanced Program regulations.

IV. FINDING

The future of developing institutions and the Federal commitment to their support are the primary concern of the Advisory Council. It is in the national interest to continue the forward momentum and to protect and enhance the investments already provided by Title III so that these schools can make their vitally needed contributions to higher education.

The Council has reiterated in its previous Annual Reports some very fundamental needs and goals in American higher education which justify a positive Federal role. These arguments are contained in this Annual Report under the section entitled "The Continuing Need for Assistance."

The Council has also repeatedly recommended an expanded Federal role in institutional support. In fact, it researched the various proposals and endorsements for institutional assistance, and included in its 1976 Annual Report a special section devoted to an analysis of two endowment plans as examples of positive, specific approaches.

RECOMMENDATION

That the Administration and Congress support the legislative enactment of a comprehensive institutional support program for developing institutions. In order to meet their wide variety of needs, such a proposal might include a flexible combination of types of support such as the establishment and maintenance of endowment funds.

V. FINDING

The Council reaffirms the urgency to respond to the needs of the disadvantaged and minority groups of our society.

The Council also recognizes the unique role of developing institutions in providing successful educational experiences to low-income and minority students. It is particularly gratified by efforts in this area which Title III has provided. In fact, the percentage of students from low-income families is one of the eight factors considered in determining the eligibility of an institution to participate in the Title III program.

Some statistics on minority groups benefitted by the Title III Basic Program are especially relevant. Two-thirds of the funds under that program support projects for minority groups. Included are predominantly black institutions which currently receive over 48 percent, Spanish-speaking programs which receive nine percent, and Native American programs which are allocated eight percent.

Therefore, the Council restates some specific recommendations in this area which it has made in previous reports.

RECOMMENDATION

(1) That the Office of Education continue its concern for meeting the needs of the disadvantaged under Title III; and that the Administration and Congress support amending legislation to provide specifically that institutions enrolling high proportions of low-income and minority students be given a high priority in Title III funding. (2) That the Administration and Congress continue to provide the necessary administrative and legislative assistance to enable the Office of Education to collect institutional statistics on minority and disadvantaged students.

VI. FINDING

One of the legislative requirements for participation in the program is that an institution, during the five years preceding its Title III support, be accredited by a nationally recognized accrediting agency or association or is, according to such agency or association, making reasonable progress toward accreditation. The law allows the Commissioner to waive this full five-year requirement for institutions serving substantial populations of Native Americans, and to waive three years of this five-year requirement for any Title III applicant if he determines that such action will substantially increase higher education opportunities for Spanish-speaking people.

The Council again recognizes the needs of those newly established developing institutions serving Cubans, Mexican-Americans, and Puerto Ricans; and it contends that they deserve to be given the same advantage as those institutions serving Native Americans--i.e., a waiver of the full five-year accreditation requirement.

RECOMMENDATION

That the Administration and Congress support amending legislation to increase from three to five the number of years which the Commissioner may waive of the five-year accreditation requirement for Title III grants which substantially increase opportunities for higher education for Spanish-speaking people.

VII. FINDING

The Advisory Council has found that a combination of administrative circumstances during the 1978 fiscal year will result in a situation in which some developing institutions participating in the Basic Program will find themselves unfunded for an interim period of two to three months.

Various reviews of the Title III program, coupled with delays in decisions pertaining to the program's regulations, have placed the funding process on a slightly later cycle than normal. This means that grants will be approved in approximately late August or early September. It is estimated that up to 20 percent of the institutions--or about 40 schools--could face a "dry period" sometime during the summer months of 1978. This is based on a review of those grants which terminate between June 1 and August 31 and which have a chance of being approved for the following school year.

The Council understands the problems of administrative procedures and program reviews; but it also recognizes the hardships which this situation can cause for some of these schools which are already experiencing severe financial difficulties. (An institution may utilize a "grant extension" authority for 30 or 60 days, but only if it has funds remaining from that project at the end of the grant period.)

This situation will be especially disruptive of summer and pre-opening activities which are normally carried out in July and August. This funding gap can also result in losses of experienced and qualified personnel and other detrimental effects such as setbacks in program planning and technical assistance. Some schools and service agencies will have to borrow funds without being reimbursed for the carrying charge; other institutions, especially the small private colleges, do not have access to any source of interim funding.

The Council feels that some administrative action should be taken in order to avoid this kind of funding situation in the future.

RECOMMENDATION

That the Administration, in order to avoid any interim periods of lack of Federal funds in Title III projects, (1) implement an effective financial mechanism such as multi-year funding or pre-award clauses, and (2) eliminate significant fluctuations in deadline dates for receipt of applications.

VIII. FINDING

The Advisory Council in its previous Annual Reports has recommended that the size of the Council be increased from nine to twelve members in order to maintain a certain degree of continuity in the objectives and actions of the Council.

This concern regarding continuity is magnified at the present time, however, due to inaction by the Administration over the past year in appointing members to the Council as vacancies occur. Details of the situation are included in the section entitled "The Council--Its Functions and Activities" of this Annual Report. In summary, the Council will consist of only two members as of March 15, 1978, and thus be inoperative.

The Council notes that Section 443 of the General Education Provisions Act provides that members of Presidential advisory councils continue to serve until other members are appointed to fill their positions. In order to avoid the current vacancy situation, the Council believes that this authority should be extended to all advisory councils, including those appointed by the Secretary and the Commissioner.

The Council also emphasizes the importance of appointing members who are representatives from disadvantaged and minority groups and from the various higher education sectors. Such diversified representation can help assure that Title III does indeed respond to the diversity of the Nation's institutions and their clientele. The increased size of the Council would also facilitate in maintaining this objective.

RECOMMENDATION

(1) That the Administration act immediately to fill the seven existing vacancies on the Advisory Council. (2) That the Administration in the future act promptly in filling vacancies on the Council as they occur and in naming the Chairperson. (3) That the Administration continue the practice of assuring that members represent disadvantaged and minority groups and geographic areas, as well as the various types of higher education institutions. (4) That the Administration and Congress support amending legislation to increase the size of the Advisory Council from nine to twelve members, and to provide that members, at the end of their three-year terms, serve on the Council until other members are appointed to fill their positions.

IX. FINDING

The Advisory Council has encountered some communications problems in the recent past which, it feels, provide reasons for concern. Specifically, Council members have learned, only after the fact, of some major actions taken regarding the Title III program--such as the conduct of studies and the appointment of review task forces.

The Council takes most seriously its responsibility to advise and assist the Administration and the Congress in the administration of Title III. It enthusiastically endorses the idea of studies and reviews of the program, and is especially interested in issues such as evaluation, the future of Title III, and an appropriate Federal role in higher education institutional support.

Therefore, the Council--both collectively and individually--is very eager to cooperate and assist in any way possible in these various undertakings. More open communication channels will enable the Council to carry out its mandated role more effectively and to support our mutual efforts to improve developing institutions.

RECOMMENDATION

That the Administration keep the Advisory Council more fully informed, on a timely basis, of policy and major operational issues pertaining to the Title III program such as the conduct of special studies, changes in regulations, and the appointment of special task forces to review Title III.

X. FINDING

The Advisory Council extends a special commendation to the staff of the Office of Education for its capable and diligent administration of the Title III program. Although faced with an acute shortage of personnel and resources, the staff nevertheless has provided highly competent and efficient technical assistance to institutions participating in the Title III program.

The Council also pays tribute to both the professional and secretarial personnel of the Office who so generously shared their knowledge, time, and energies in helping the Council to discharge its responsibilities.

But the fact remains that the Title III program is severely understaffed and lacks the necessary resources to provide a proper amount of monitoring and technical assistance. Staff support--both professional and clerical--simply has not grown proportionately with levels of program support.

The Council also reaffirms the need for program evaluations, and urges the Office to continue its current efforts to develop a realistic and viable definition of "developing institution."

It is only through these mechanisms--effective technical assistance, adequate project monitoring, and in-depth program evaluations--that Title III and its institutions can be truly responsive to the Congress, to the students they serve, and to the demands of our society.

RECOMMENDATION

That the Administration and Congress provide adequate staff and funding for travel and other administrative expenses which are necessary for effective and efficient administration and monitoring of the Developing Institutions Program; and that the Office of Education continue to place high priority on its Title III evaluation efforts.

APPENDIX A

ADVISORY COUNCIL ON DEVELOPING INSTITUTIONS

	Term Expiration
Dr. Samuel M. Nabrit (Chairperson) Executive Director Southern Fellowship Fund 795 Peachtree Street, N. E. Atlanta, Georgia 30308	3/15/78
Mr. Peter E. Azure Assistant Director for Advancement Sheldon Jackson College, Box 479 Sitka, Alaska 99835	3/15/77
Dr. Sidney Brossman Director of Institutional Services San Diego Community College San Diego, California 92108	3/15/77
Mr. Lowell J. Cook Administrative Assistant for Development North Iowa Area Community College Mason City, Iowa 50401	3/15/78
Mr. Norman C. Harris Coordinator of Community College Development Center for the Study of Higher Education The University of Michigan Ann Arbor, Michigan 48104	12/31/77 (Resignation Date)
Dr. Keith Jewitt Professor of Sociology Black Hills State College Spearfish, South Dakota 57783	3/15/79
Ms. Gale Joann Miller University of North Carolina Chapel Hill, North Carolina 27514	3/15/78
Ms. Virginia Ortiz Y Pino Director of Cooperative Education New Mexico Highlands University Las Vegas, New Mexico 87701	3/15/77
Mr. Harold E. Wade Assistant Executive Secretary Commission on Colleges Southern Association of Colleges and Schools 795 Peachtree Street, N. E. Atlanta, Georgia 30308	3/15/79

Program Delegate:

Dr. Preston Valien
Director, College and University Unit
Bureau of Higher and Continuing Education
U. S. Office of Education

TITLE III, HIGHER EDUCATION ACT OF 1965
STRENGTHENING DEVELOPING INSTITUTIONS
BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1966 - 1977

	1966	1967	1968	1969	1970	1971	1972	1973	1974	1975	1976*	1977
Funds Appropriated & Obligated (in thousands)	$ 5,000	$ 30,000	$ 30,000	$ 30,000	$ 30,000	$ 33,850	$ 51,850	$ 51,850	$ 51,992	$ 52,000	$ 52,000	$52,000*
Funds Requested by Institutions (in thousands)	$ 32,250	$ 56,792	$113,925	$ 95,187	$ 85,434	$105,048	$143,000	$220,000	$198,000	$222,000	$196,000	$184,000
Number of Proposals Submitted	310	560	500	464	433	441	456	470	511	491	431	410
Number of Grantee Developing Inst.	(127)	(411)	(220)	(229)	(227)	(198)	(226)	(235)	(215)	(207)	(203)	(190)
Other Non-Grantee Participating Inst.	(31)	(55)	(148)	(186)	(215)	(307)	(330)	(232)	(139)	(230)	(232)	(229)
Total Developing Inst. Benefiting from Title III Funds	158	466	368	415	442	505	556	467	354	437	435	419
Assisting Institutions	66	168	131	142	156	151	185	181	162	141	163	168
Assisting Agencies & Businesses	9	53	28	47	51	53	101	134	178	118	166	149
National Teaching Fellowships Approved	263	1,514	727	655	649	541	635	354	524	461	362	
Professors Emeriti Awarded	--	--	--	--	56	64	73	45	59	48	38	
Geographical Representation of Grantees	38 States & D.C.	47 States Guam P.Rico D.C.	45 States Guam P.Rico V. Isl.	45 States Guam P.Rico V. Isl.	44 States Guam P.Rico V. Isl. D.C.	40 States P.Rico V. Isl. D.C.	43 States P.Rico V. Isl. D.C.	43 States P.Rico V. Isl. D.C.	47 States P.Rico V. Isl. D.C.	44 States P. Rico V. Isl. D.C.	44 States P.Rico V. Isl. D.C. Am. Samoa	46 States P.Rico V. Isl. Am.Samoa

*An additional $476,440 was received from OE reprogrammed money to make the new total obligated funds--- $52,476,440.

APPENDIX B

TITLE III, HIGHER EDUCATION ACT OF 1965
STRENGTHENING DEVELOPING INSTITUTIONS
BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

Awards by Type of Institution, Fiscal Year 1977

	Number of Grantees	Percent of Grantees	Total Funds	Percent of Funds	Average Grant
All Grantee Institutions	190	100%	$52,476,440	100%	$276,192
Four-Year	122	64.2	$39,860,000	76.0	$326,721
Two-Year	68	35.8	$12,616,440	24.0	$185,536
Public Institutions	87	45.8	$23,405,900	44.6	$269,033
Four-Year	34	17.9	$13,005,000	24.8	$382,500
Two-Year	53	27.9	$10,400,900	19.8	$196,243
Private Institutions	103	54.2	$29,070,540	55.4	$282,238
Four-Year	88	46.3	$26,855,000	51.2	$305,170
Two-Year	15	7.9	$ 2,215,540	4.2	$147,703
Predominantly Black Institutions	47	24.7	$25,397,000	48.4	$540,361
Four-Year	38	20.0	$22,870,000	43.6	$601,842
Two-Year	9	4.7	$ 2,527,000	4.8	$280,777
Predominantly White Institutions	143	75.3	$27,079,440	51.6	$189,366
Four-Year	84	44.2	$16,990,000	32.4	$202,261
Two-Year	59	31.1	$10,089,440	19.2	$171,007

TITLE III, HIGHER EDUCATION ACT OF 1965
STRENGTHENING DEVELOPING INSTITUTIONS
ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM

Awards by Type of Institution, Fiscal Year 1977

	Number of Grantees	Percent of Grantees	Total Funds	Percent of Funds	Average Grant
Totals	93	100%	$58,000,000	100%	$623,656
Four-Year	65	69.9	$44,080,000	76.0	$678,154
Two-Year	28	30.1	$13,920,000	24.0	$497,143
Grantee Institutions	89	95.7	$56,432,500	97.3	$634,073
Four-Year	63	67.7	$43,163,000	74.4	$685,127
Two-Year	26	28.0	$13,269,500	22.9	$510,365
Consortia*	4	4.3	$ 1,567,500	2.7	$391,875
Four-Year	2	2.15	$ 917,000	1.6	$458,500
Two-Year	2	2.15	$ 650,500	1.1	$325,250
Public Institutions**	41	44.1	$33,180,900	57.2	$809,290
Four-Year	20	21.5	$21,193,500	36.5	$1,059,675
Two-Year	21	22.6	$11,987,400	20.7	$570,829
Private Institutions**	48	51.6	$23,251,600	40.1	$484,408
Four-Year	43	46.2	$21,969,500	37.9	$510,919
Two-Year	5	5.4	$ 1,282,100	2.2	$256,420
Predominantly Black Institutions**	35	37.6	$22,873,700	39.4	$653,534
Four-Year	32	34.4	$22,600,700	38.95	$706,272
Two-Year	3	3.2	$ 273,000	0.45	$91,000
Predominantly White Institutions**	54	58.1	$33,558,800	57.9	$621,459
Four-Year	31	33.35	$20,562,300	35.5	$663,300
Two-Year	23	24.75	$12,996,500	22.4	$565,065

* Includes consortia for training development officers as well as technical assistance consortia.

** Does not include consortia grants.

TITLE III, HIGHER EDUCATION ACT OF 1965
STRENGTHENING DEVELOPING INSTITUTIONS
ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM

Awards by Institution, Fiscal Years 1973 through 1977

ALABAMA	
Alabama A and M University	$ 3,037,000
Enterprise State Junior College	1,400,000
Gadsden State Junior College	880,200
Jacksonville State University	2,500,000
Jefferson State Junior College	1,600,000
John C. Calhoun State Technical Junior College and Technical School	784,700
Miles College	3,035,500
Northeast Alabama State Junior College	1,000,000
Snead State Junior College	1,000,000
Tuskegee Institute	3,593,000
Total	18,830,400
ARIZONA	
Cochise College	1,200,000
Pima Community College	850,000
Total	2,050,000
ARKANSAS	
Ouachita Baptist University	1,071,800
CALIFORNIA	
Compton Community College	712,800
East Los Angeles College	1,018,300
Lone Mountain College	1,358,500
Mount St. Mary's College	1,000,000
Total	4,089,600
COLORADO	
University of Southern Colorado	658,000
DELAWARE	
Delaware State College	2,500,000
DISTRICT OF COLUMBIA	
Trinity College	1,000,000
Washington Technical Institute	1,600,000
Total	2,600,000

FLORIDA	
Bethune-Cookman College	$2,500,000
Valencia Community College	1,230,000
Total	3,730,000
GEORGIA	
Abraham Baldwin Agricultural College	1,430,400
Clark College	2,486,000
Fort Valley State College	2,700,000
Morehouse College	2,237,000
Morris Brown College	2,840,700
Savannah State College	2,750,000
South Georgia College	855,000
Spelman College	2,526,500
Total	17,825,600
HAWAII	
University of Hawaii-Leeward Community College	1,800,000
ILLINOIS	
Barat College	1,000,000
Central YMCA Community College	1,591,500
Chicago State University	2,000,000
Elgin Community College	1,000,000
Illinois Benedictine College	1,017,500
Lewis University	1,500,000
Malcolm X College	1,500,000
Mundelein College	1,330,000
Olive-Harvey College	1,500,000
Total	12,439,000
INDIANA	
Vincennes University	1,300,000
IOWA	
Des Moines Area Community College	1,693,600
Morningside College	1,027,500
St. Ambrose College	1,500,000
Total	4,221,100
KANSAS	
Ottawa University	1,300,000

KENTUCKY	
Kentucky State University	$ 2,300,000
Lees Junior College	1,037,000
Murray State University	1,200,000
Thomas More College	1,300,000
Union College	1,500,000
Total	7,337,000
LOUISIANA	
Dillard University	2,500,000
Grambling State University	2,800,000
Loyola University, New Orleans	1,800,000
Southern University and A and M College, Baton Rouge	3,000,000
Xavier University of Louisiana	2,825,000
Total	12,925,000
MARYLAND	
Bowie State College	2,528,500
Morgan State University	2,750,000
Total	5,278,500
MASSACHUSETTS	
North Shore Community College	1,500,000
Quinsigamond Community College	925,000
Total	2,425,000
MICHIGAN	
Aquinas College	1,000,000
Delta College	520,000
Highland Park Community College	1,399,500
Kalamazoo Valley Community College	820,000
Lansing Community College	1,500,000
Siena Heights College	1,000,000
Wayne County Community College	2,000,000
Total	8,239,500
MINNESOTA	
College of St. Benedict	1,796,500
St. Mary's College	1,500,000
St. Mary's Junior College	1,146,525
Total	4,443,025
MISSISSIPPI	
Jackson State University	3,420,000
Mary Holmes College	1,035,700
Rust College	1,987,500
Tougaloo College	2,049,000
Total	8,492,200

MISSOURI	
Lincoln University	$ 3,000,000
Park College	782,000
Penn Valley Community College	1,000,000
Maryville College	1,500,000
Rockhurst College	2,199,000
Total	8,481,000
NEBRASKA	
Doane College	1,250,000
NEW JERSEY	
Bloomfield College	1,760,000
Burlington County College	1,280,000
Mercer County Community College	2,051,200
Total	5,091,200
NEW YORK	
Canisius College	1,525,000
John Jay College of Criminal Justice	1,540,000
Long Island University-The Brooklyn Center	1,520,000
Marymount Manhattan College	1,500,000
Total	6,085,000
NORTH CAROLINA	
Bennette College	2,240,000
Catawba College	1,000,000
Elon College	2,000,000
Fayetteville State University	3,000,000
Johnson C. Smith University	2,065,000
Mars Hill College	2,000,000
North Carolina A and T State University	2,887,000
North Carolina Central University	2,900,000
St. Augustine's College	2,515,000
Sandhills Community College	1,000,000
Shaw University	2,915,000
Southeastern Community College	837,600
Western Carolina University	1,720,000
Total	27,079,600
NORTH DAKOTA	
North Dakota State School of Science	751,000
OHIO	
Central State University	2,733,500
Wilberforce University	2,685,000
Wilmington College	1,500,000
Total	6,918,500

PENNSYLVANIA	
Delaware County Community College	$ 1,200,000
Lincoln University	3,380,000
Total	4,580,000
SOUTH CAROLINA	
Baptist College at Charleston	1,374,000
Benedict College	2,979,000
Greenville Technical College	1,200,000
South Carolina State College	1,800,000
Spartanburg Methodist College	1,000,000
Trident Technical College	1,600,000
Voorhees College	2,200,000
Total	12,153,000
TENNESSEE	
Austin Peay University	2,000,000
Christian Brothers College	1,600,000
Fisk University	2,859,000
Lambuth College	1,000,000
Tennessee State University	3,051,000
Total	10,510,000
TEXAS	
Bishop College	3,717,000
College of the Mainland	1,120,000
El Paso Community College	1,500,000
Our Lady of the Lake University of San Antonio	1,500,000
Pan American University	1,680,000
Prairie View A and M University	2,203,500
St. Edward's University	2,000,000
St. Mary's University	2,350,000
Texas College	1,220,000
Texas Southern University	2,271,000
Texas Southmost University	1,075,000
Wharton County Junior College	1,300,000
Total	21,936,500
VIRGINIA	
Hampton Institute	2,920,000
J. Sargeant Reynolds Community College	1,700,000
Norfolk State College	2,924,000
Virginia State College	2,700,000
Virginia Union University	3,358,000
Total	13,602,000

WASHINGTON	
Seattle Central Community College	$ 1,334,475
WEST VIRGINIA	
Alderson-Broaddus College	1,324,500
Davis and Elkins College	1,332,000
Parkersburg Community College	1,430,000
Salem College	1,000,000
West Virginia State College	2,000,000
West Virginia Wesleyan College	1,028,000
Wheeling College	1,500,000
Total	9,614,500
WISCONSIN	
Western Wisconsin Technical Institute	1,400,000
CONSORTIA	
TECHNICAL ASSISTANCE AND EVALUATION CONSORTIA	
Central YMCA Community College	1,000,500
Tuskegee Institute	1,882,500
Total	2,883,000
CONSORTIA FOR TRAINING OF FUND DEVELOPMENT OFFICERS	
Kalamazoo Valley Community College	190,000
Bishop College	84,500
Total	274,500
Grand Total	257,500,000

TITLE III, HIGHER EDUCATION ACT OF 1965
STRENGTHENING DEVELOPING INSTITUTIONS

Funding by State
Fiscal Year 1977

	Basic Institutional Development Program	Advanced Institutional Development Program	Total
TOTALS	$52,476,440*	$58,000,000	$110,476,440
Alabama	5,266,100	2,526,900	7,793,000
Alaska	150,000	---	150,000
Arizona	1,441,000	---	1,441,000
Arkansas	2,275,000	71,800	2,346,800
California	425,000	1,164,600	1,589,600
Colorado	425,100	8,000	433,100
Connecticut	350,000	---	350,000
Delaware	100,000	---	100,000
District of Columbia	---	1,000,000	1,000,000
Florida	1,891,800	30,000	1,921,800
Georgia	1,800,000	3,143,600	4,943,600
Hawaii	450,000	---	450,000
Idaho	---	---	---
Illinois	570,000	4,549,500	5,119,500
Indiana	200,000	---	200,000
Iowa	930,600	371,100	1,301,700
Kansas	2,072,200	---	2,072,200
Kentucky	375,000	1,337,000	1,712,000
Louisiana	1,200,000	2,800,000	4,000,000
Maine	325,000	---	325,000
Maryland	1,100,000	28,500	1,128,500
Massachusetts	---	---	---
Michigan	1,150,000	389,500	1,539,500
Minnesota	150,000	229,400	379,400
Mississippi	1,900,000	602,200	2,502,200

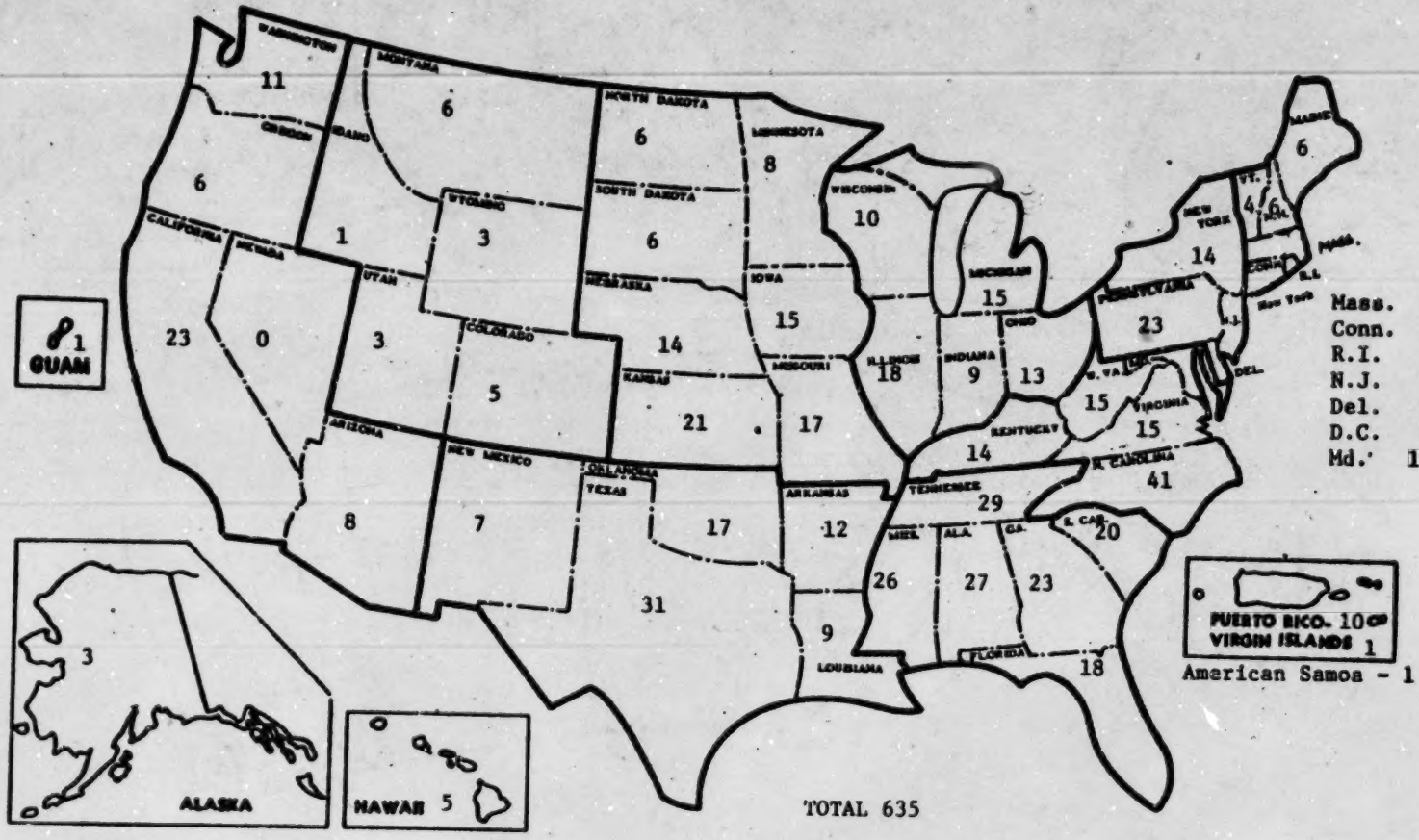
* Includes original appropriation of $52,000,000 and reprogrammed amount of $476,440.

	Basic Institutional Development Program	Advanced Institutional Development Program	Total
Missouri	$ 300,000	$ 3,264,000	$ 3,564,000
Montana	350,000	---	350,000
Nebraska	250,000	---	250,000
Nevada	---	---	---
New Hampshire	225,000	---	225,000
New Jersey	350,000	311,200	661,200
New Mexico	1,425,000	---	1,425,000
New York	427,000	1,585,000	2,012,000
North Carolina	4,167,600	5,429,600	9,597,200
North Dakota	1,325,000	151,000	1,476,000
Ohio	775,000	1,618,500	2,393,500
Oklahoma	1,275,000	---	1,275,000
Oregon	350,000	---	350,000
Pennsylvania	775,000	480,000	1,255,000
Rhode Island	---	---	---
South Carolina	2,060,500	6,403,000	8,463,500
South Dakota	1,125,000	---	1,125,000
Tennessee	3,498,200	4,680,000	8,178,200
Texas	2,682,000	5,966,000	8,648,000
Utah	200,000	---	200,000
Vermont	250,000	---	250,000
Virginia	2,250,000	4,802,000	7,052,000
Washington	263,000	143,100	406,100
West Virginia	775,000	3,514,500	4,289,500
Wisconsin	625,000	1,400,000	2,025,000
Wyoming	100,000	---	100,000
American Samoa	140,000	---	140,000
Canal Zone	---	---	---
Guam	---	---	---
Puerto Rico	1,616,340	---	1,616,340
Virgin Islands	350,000	---	350,000

DISTRIBUTION OF COLLEGES THAT HAVE RECEIVED DIRECT TITLE III AWARDS

FISCAL YEARS 1966 - 1977

BASIC PROGRAM



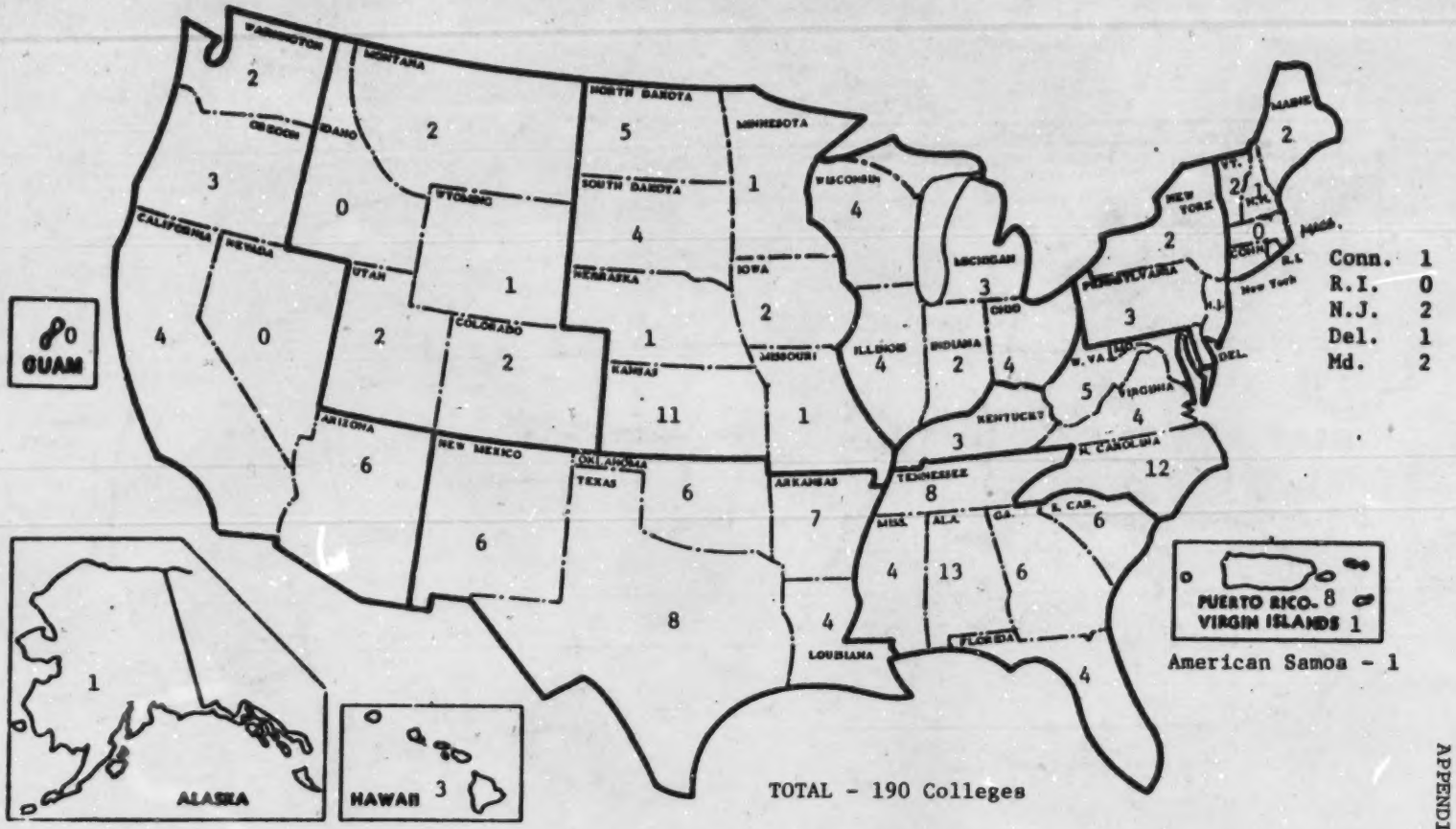
TOTAL 635

APPENDIX G

DISTRIBUTION OF COLLEGES THAT HAVE RECEIVED

BASIC INSTITUTIONAL DEVELOPMENT PROGRAM GRANTS

in FISCAL YEAR 1977



Conn. 1
R.I. 0
N.J. 2
Del. 1
Md. 2

American Samoa - 1

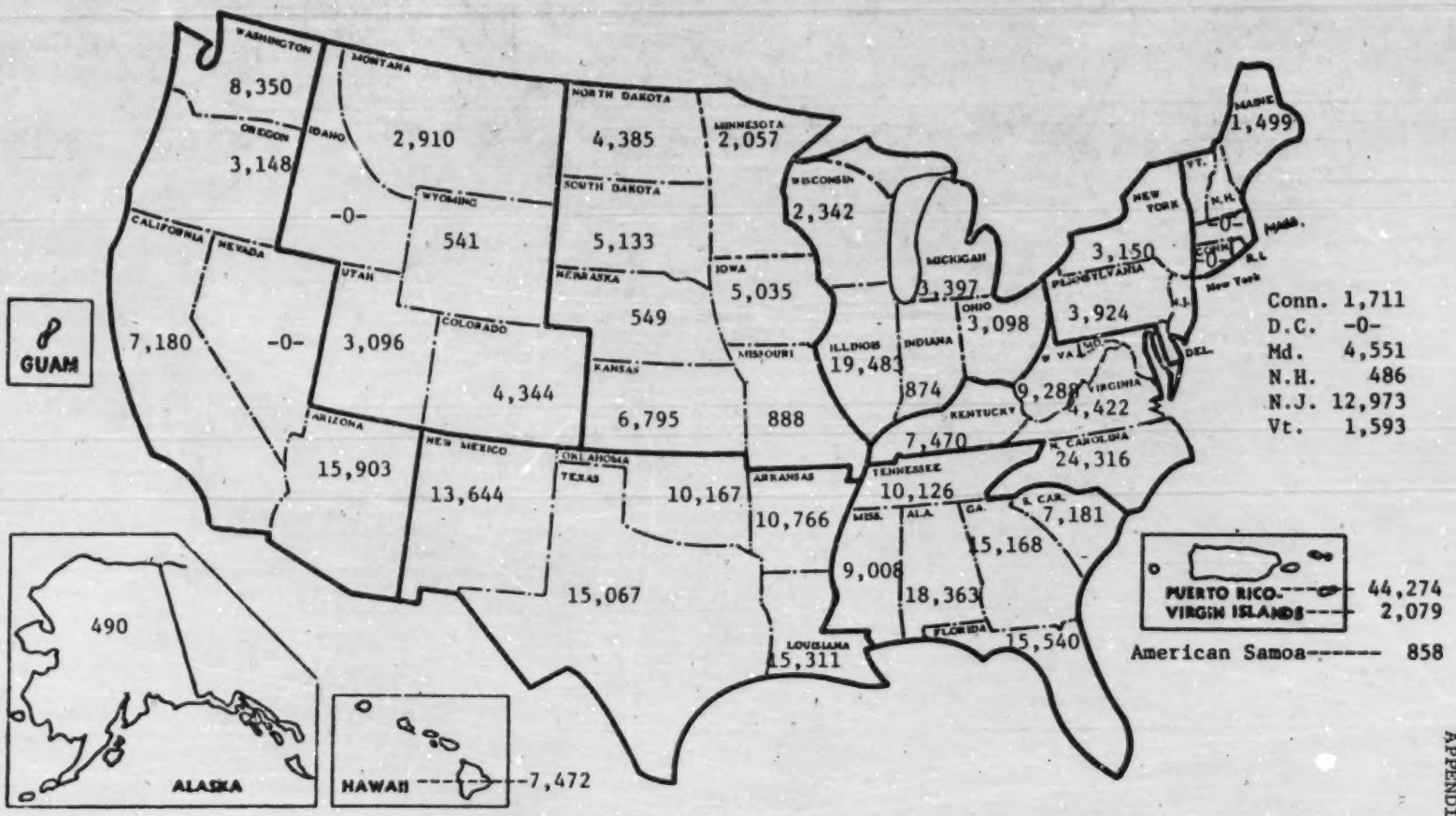
TOTAL - 190 Colleges

APPENDIX H

DISTRIBUTION BY STATE OF THE TOTAL ENROLLMENT OF THE 190 INSTITUTIONS

DIRECTLY FUNDED UNDER THE BASIC TITLE III PROGRAM IN FISCAL YEAR 1977

TOTAL ENROLLMENT OF GRANTEE INSTITUTIONS - BASIC PROGRAM - 370,945



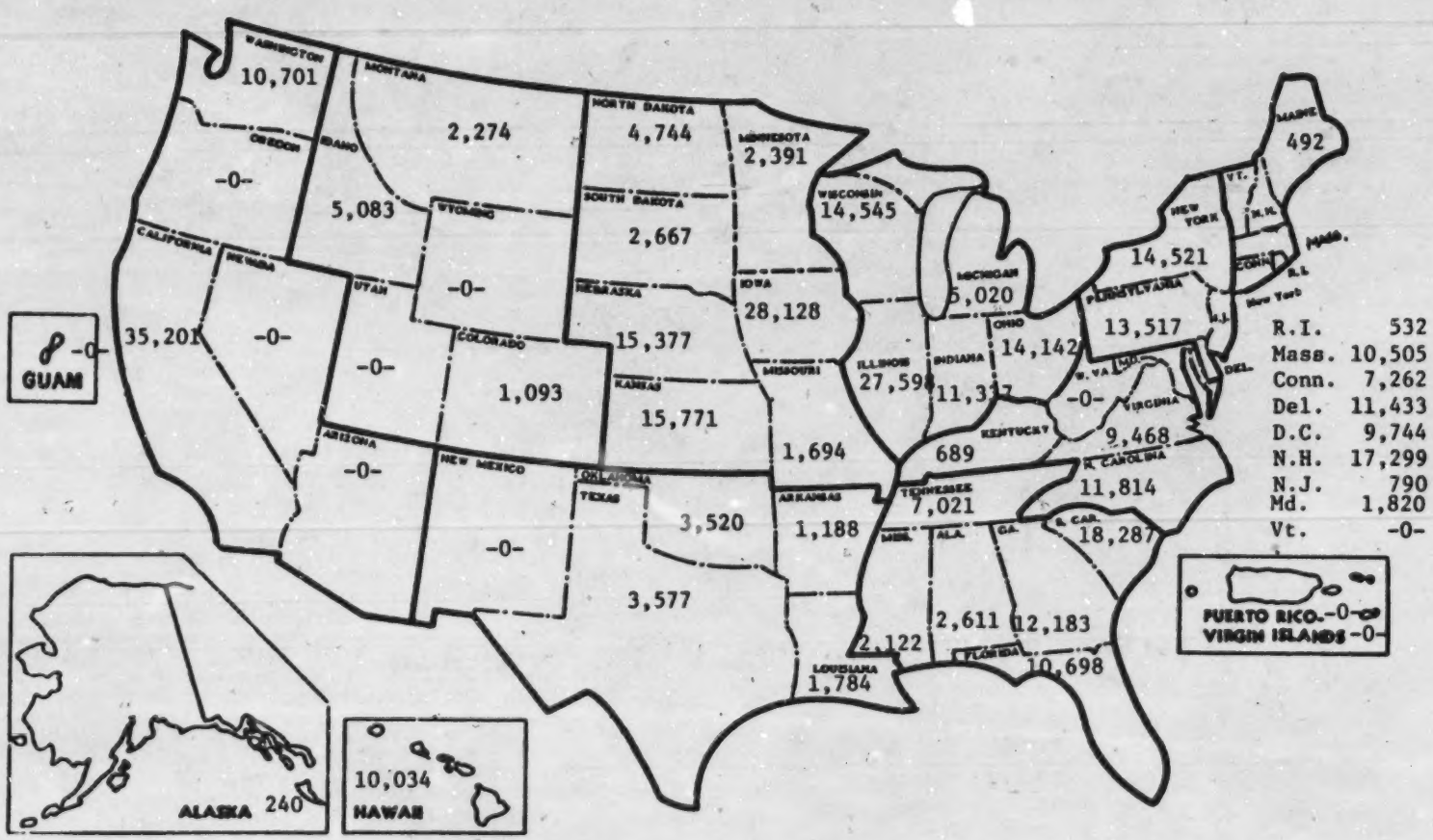
Conn. 1,711
D.C. -0-
Md. 4,551
N.H. 486
N.J. 12,973
Vt. 1,593

APPENDIX I

DISTRIBUTION BY STATE OF THE TOTAL ENROLLMENT

OF THE 229 PARTICIPATING INSTITUTIONS FUNDED UNDER TITLE III IN FISCAL YEAR 1977

TOTAL ENROLLMENT OF NON-GRANTEE PARTICIPANTS - BASIC PROGRAM - 380,917



APPENDIX J

HIGHER EDUCATION ACT OF 1965

TITLE III—STRENGTHENING DEVELOPING INSTITUTIONS

AUTHORIZATION

SEC. 301. (a) The Commissioner shall carry out a program of special assistance to strengthen the academic quality of developing institutions which have the desire and potential to make a substantial contribution to the higher education resources of the Nation but which are struggling for survival and are isolated from the main currents of academic life.

(b) (1) For the purpose of carrying out this title, there are authorized to be appropriated $120,000,000 for the fiscal year ending June 30, 1973, and for each of the succeeding fiscal years ending prior to October 1, 1979.

(2) Of the sums appropriated pursuant to this subsection for any fiscal year, 76 per centum shall be available only for carrying out the provisions of this title with respect to developing institutions which plan to award one or more bachelor's degrees during such year.

(3) The remainder of the sums so appropriated shall be available only for carrying out the provisions of this title with respect to developing institutions which do not plan to award such a degree during such year.

(20 U.S.C. 1051) Enacted June 23, 1972, P.L. 92-318, Title I, sec. 121(a), 86 Stat. 241; amended October 12, 1976, P.L. 94-482, Title I, Part C, sec. 111, 90 Stat. 2091.

ELIGIBILITY FOR SPECIAL ASSISTANCE

SEC. 302. (a) (1) For the purposes of this title, the term "developing institution" means an institution of higher education in any State which—

(A) is legally authorized to provide, and provides within the State, an educational program for which it awards a bachelor's degree, or is a junior or community college;

(B) is accredited by a nationally recognized accrediting agency or association determined by the Commissioner to be reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation;

(C) except as is provided in paragraph (2), has met the requirement of clauses (A) and (B) during the five academic years preceding the academic year for which it seeks assistance under this title; and

(D) meets such other requirements as the Commissioner shall prescribe by regulation, which requirements shall include at least a determination that the institution—

(i) is making a reasonable effort to improve the quality of its teaching and administrative staffs and of its student services; and

(ii) is, for financial or other reasons, struggling for survival and isolated from the main currents of academic life.

(2) The Commissioner is authorized to waive the requirements set forth in clause (C) of paragraph (1) in the case of applications for grants under this title by institutions located on or near an Indian reservation or a substantial population of Indians if the Commissioner determines such action will increase higher education for Indians. The Commissioner is authorized to waive three years of the requirements set forth in clause (C) of paragraph (1) in the case of applications for grants under this title by institutions if the Commissioner determines such action will substantially increase higher education for Spanish-speaking people.

(b) Any institution desiring special assistance under the provisions of this title shall submit an application for eligibility to the Commissioner at such time, in such form, and containing such information, as may be necessary to enable the Commissioner to evaluate the need of the applicant for such assistance and to determine its elgibility to be a developing institution for the purposes of this title. The Commissioner shall approve any application for eligibility under this subsection which indicates that the applicant is a developing institution meeting the requirements set forth in subsection (a).

(c) For the purposes of clause (A) of paragraph (1) of subsection (a) of this section, the term "junior or community college" means an institution of higher education—

(1) which does not provide an educational program for which it awards a bachelor's degree (or an equivalent degree);

(2) which admits as regular students only persons having a certificate of graduation from a school providing secondary education (or the recognized equivalent of such a certificate); and

(3) which does—

(A) provide an educational program of not less than two years which is acceptable for full credit toward such a degree, or

(B) offer a two-year program in engineering, mathematics, or the physical or biological sciences, which program is designed to prepare a student to work as a technician and at the semiprofessional level in engineering, scientific, or other technological fields, which fields require the understanding and application of basic engineering, scientific, or mathematical principles of knowledge.

(20 U.S.C. 1052) Enacted June 23, 1972, P.L. 92-318, Title I, sec. 121(a), 86 Stat. 241, 242; amended August 21, 1974, P.L. 93-380, sec. 832, 88 Stat. 603; amended October 12, 1976, P.L. 94-482, Title I, Part C, sec. 112, 90 Stat. 2091.

ADVISORY COUNCIL ON DEVELOPING INSTITUTIONS

SEC. 303. (a) There is hereby established an Advisory Council on Developing Institutions (in this title referred to as the "Council") consisting of nine members appointed by the Commissioner with the approval of the Secretary.

(b) The Council shall, with respect to the program authorized by this title, carry out the duties and functions specified by part C of the General Education Provisions Act and, in particular, it shall assist the Commissioner—

(1) in identifying developing institutions through which the purposes of this title may be achieved; and

(2) in establishing the priorities and criteria to be used in making grants under section 304(a).

(20 U.S.C. 1053) Enacted June 23, 1972, P.L. 92-318, Title I, sec. 121(a), 86 Stat. 242, 243.

USES OF FUNDS: COOPERATIVE ARRANGEMENTS, NATIONAL TEACHING FELLOWSHIP, AND PROFESSORS EMERITUS

SEC. 304. (a) The Commissioner is authorized to make grants and awards, in accordance with the provisions of this title, for the purpose of strengthening developing institutions. Such grants and awards shall be used solely for the purposes set forth in subsection (b).

(b) Funds appropriated pursuant to section 301(b) shall be available for—

(1) grants to institutions of higher education to pay part of the cost of planning, developing, and carrying out cooperative arrangements between developing institutions and other institutions of higher education, and between developing institutions and other organizations, agencies, and business entities, which show promise as effective measures for strengthening the academic program and the administrative capacity of developing institutions, including such projects and activities as—

(A) exchange of faculty or students, including arrangements for bringing visiting scholars to developing institutions,

(B) faculty and administration improvement programs, utilizing training, education (including fellowships leading to advanced degrees), internships, research participation, and other means,

(C) introduction of new curricula and curricular materials,

(D) development and operation of cooperative education programs involving alternate periods of academic study and business or public employment, and

(E) joint use of facilities such as libraries or laboratories, including necessary books, materials, and equipment;

(2) National Teaching Fellowships to be awarded by the Commissioner to highly qualified graduate students and junior faculty members of institutions of higher education for teaching at developing institutions; and

(3) Professors Emeritus Grants to be awarded by the Commissioner to professors retired from active service at institutions of higher education to encourage them to teach or to conduct research at developing institutions.

(c)(1) An application for assistance for the purposes described in subsection (b)(1) shall be approved only if it—

(A) sets forth a program for carrying out one or more of the activities described in subsection (b)(1), and sets forth such policies and procedures for the administration of the program as will insure the proper and efficient operation of the program and the accomplishment of the purposes of this title;

(B) sets forth such policies and procedures as will insure that Federal funds made available under this section for any fiscal year will be so used as to supplement and, to the extent practical, increase the level of funds that would, in the absence of such Federal funds be made available for the purposes of the activities described in subsection (b)(1), and in no case supplant such funds;

(C) sets forth policies and procedures for the evaluation of the effectiveness of the project or activity in accomplishing its purpose;

(D) provides for such fiscal control and fund accounting procedures as may be necessary to insure proper disbursement of and accounting for funds made available under this title to the applicant; and

(E) provides for making such reports, in such form and containing such information, as the Commissioner may require to carry out his functions under this title, and for keeping such records and affording such access thereto, as he may find necessary to assure the correctness and verification of such reports.

The Commissioner shall, after consultation with the Council, establish by regulation criteria as to eligible expenditures for which funds from grants for cooperative arrangements under clause (1) of subsection (b) may be used, which criteria shall be so designed as to prevent the use of such funds for purposes not necessary to the achievement of the purposes for which the grant is made.

(2)(A) Applications for awards described in clauses (2) and (3) of subsection (b) may be approved only upon a finding by the Commissioner that the program of teaching or research set forth therein is reasonable in the light of the qualifications of the applicant and of the educational needs of the institution at which the applicant intends to teach.

(B) No application for a National Teaching Fellowship or a Professors Emeritus Grant shall be approved for an award of such a fellowship or grant for a period exceeding two academic years, except that the award of a Professors Emeritus Grant may be for such period, in addition to such two-year period of award, as the Commissioner, upon the advice of the Council, may determine in accordance with policies of the Commissioner set forth in regulations.

(C) Each person awarded a National Teaching Fellowship or a Professors Emeritus Grant shall receive a stipend for each academic year of teaching (or, in the case of a recipient of a Professors Emeritus Grant, research) as determined by the Commissioner upon the advice of the Council, plus an additional allowance for each such year for each dependent of such person. In the case of National Teaching Fellowships, such allowance may not exceed $7,500, plus $400 for each dependent.

(20 U.S.C. 1054) Enacted June 23, 1972, P.L. 92-318, title I, sec. 121(a), 86 Stat. 243, 244.

ASSISTANCE TO DEVELOPING INSTITUTIONS UNDER OTHER PROGRAMS

SEC. 305. (a) Each institution which the Commissioner determines meets the criteria set forth in section 302(a) shall be eligible for waivers in accordance with subsection (b).

(b)(1) Subject to, and in accordance with, regulations promulgated for the purpose of this section, in the case of any application by a developing institution for assistance under any programs specified in paragraph (2), the Commissioner is authorized, if such application is otherwise approvable, to waive any requirement for a non-Federal share of the cost of the program or project, or, to the extent not inconsistent with other law, to give, or require to be given, priority consideration of the application in relation to applications from institutions which are not developing institutions.

(2) The provisions of this section shall apply to any program authorized by title II, IV, VI, or VII of this Act.

(c) The Commissioner shall not waive, under subsection (b), the non-Federal share requirement for any program for applications which, if approved, would require the expenditure of more than 10 per centum of the appropriations for the program for any fiscal year.

(20 U.S.C. 1055) Enacted June 23, 1972, P.L. 92-318, Title I, sec. 121(a), 86 Stat. 244.

LIMITATION

SEC. 306. None of the funds appropriated pursuant to section 301 (b)(1) shall be used for a school or department of divinity or for any religious worship or sectarian activity.

(20 U.S.C. 1056) Enacted June 23, 1972, P.L. 92-318, Title I, sec. 121(a), 86 Stat. 245.

REGULATIONS

for

TITLE III, HIGHER EDUCATION ACT OF 1965

STRENGTHENING DEVELOPING INSTITUTIONS

Federal Register
Volume 40, Number 107
Tuesday, June 3, 1975

Note: These Regulations are currently in the process of being revised. The Office of Education anticipates that they will be promulgated during calendar year 1978 and become effective for the next funding cycle which will support academic year 1979-80.

Title 45—Public Welfare

CHAPTER I—OFFICE OF EDUCATION, DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

PART 169—STRENGTHENING DEVELOPING INSTITUTIONS PROGRAM

Notice of proposed rulemaking was published in the FEDERAL REGISTER on November 18, 1974 (39 FR 40506–40511) setting forth regulations for the Strengthening Developing Institutions Program authorized by Title III of the Higher Education Act of 1965, as amended (20 U.S.C. 1051–1056). Pursuant to section 503 of the Education Amendments of 1972, (Pub. L. 92–318) a hearing was held at the U.S. Office of Education on December 19, 1974 in the auditorium of Regional Office Building Three (ROB–3), 7th and D Streets SW., Washington, D.C. 20202, and comments were received on the proposed regulations. In addition interested persons were invited to submit written comments and recommendations to U.S. Office of Education, Room 2085, Federal Office Building Six, 400 Maryland Avenue SW., Washington, D.C. 20202, Attention: Chairman, Office of Education Task Force on Section 503. Written comments were received and considered.

A. *Summary of Comments—Office of Education Response.* The following oral and written comments were received by the Office of Education regarding the proposed regulations. After a summary of each comment, a response is set forth stating the changes which have been made in the regulations or the reasons why no change is deemed necessary.

Comment. One commenter suggested that the Title III program as presently structured and staffed is incapable of meeting the needs of a majority of small and growing institutions of higher education and proposed that funds directed toward helping developing institutions be distributed through revenue sharing to each state, that criteria for distribution of funds within each state be determined by an advisory committee representing all eligible institutions according to an equalization formula, that the criteria for granting funds to each State and subsequently to each developing institution be based on the effort expended through resource allocation to higher education and the documented needs for and an ability to utilize additional funds, and that the total effort of the program for strengthening viable developing institutions be coordinated by an advisory board representing all eligible institutions through their State advisory committees.

Response. The above suggestions for the administration and operation of the Title III program cannot be carried out under the existing statutory framework of the Strengthening Developing Institutions Program.

Section 169.11 *General criteria—Comment.* One commenter stated that institutions of continuing education should not be excluded from the Title III Program.

Response. Section 169.11 (a) through (e) of the regulation merely repeat the statutory definition of a developing institution contained in section 302 of the Act (20 U.S.C. 1052). Therefore institutions of continuing education if they are excluded from the program, are excluded by statute.

Section 169.12 *Quantitative factors for identifying developing institutions—Comment.* One commenter noted that his school failed to meet two of the criteria listed and, because of the special nature of his institution, could not meet those criteria.

Response. Section 169.12 does not require an institution to fall within the prescribed range of all eight factors listed. In fact it specifically provides that "Institutions that fall outside the range of one or more of the criteria will be given an opportunity to demonstrate that the shortfall or excess as the case may be does not materially alter the character of the institution."

Comment. One commenter indicated that the percent of students from low-income families, the total volumes in the library and the student enrollment figures were factors of questionable validity with respect to identifying developing institutions.

Response. Based on an analysis of the institutions that have received funds under the Developing Institutions Program over the course of operation of the program, the Commissioner has determined that the three factors identified by this commenter and the additional five factors in the table (39 FR 40507) set out in § 169.12 are the most important quantitative measures in assessing whether an institution meets the conditions set forth in § 169.11(e).

Section 169.13 *Qualitative factors for identifying developing institutions—Comment.* One commenter took special exception to the policy regarding open admissions in § 169.13(a)(1) and stated that it violated the right of some institutions supposedly served by the Title III program to make academic policies in accordance with their mission and capabilities of service.

Response. It was not the intent of the Office of Education to advocate open enrollment admission policies nor to reward schools that institute such a policy. This particular provision was added so as not to penalize those institutions which implement such a policy and as a result find that a decreasing number and/or percentage of their freshmen complete their first year, graduate, or go to professional schools.

Comment. A commenter suggested that in evaluating an institution's vitality consideration should be given to the present economic crisis and its implications for the fund raising capability of developing institutions.

Response. In the evaluation process consideration will be given to the present economic crisis and its implications for fund raising capabilities.

Section 169.14 *Effect of classification—Comment.* A commenter suggested that the programs that are subject to the waiver under section 305 of the Act should be identified.

Response. Section 169.14 will be amended to identify the programs that are subject to the waiver and the regulations published pursuant to such programs.

Section 169.34 *Institutional plan—Comment.* One commenter suggested that in view of the present economic crisis the fund replacement feature of the Advanced Institutional Development Program may not work to the advantage of institutions and should therefore be eliminated.

Response. It is recognized that it may be difficult for some developing institutions to comply with the fund replacement feature of the Advanced Institutional Development Program, however, this component remains a vital aspect of institutional development. In recognition of this problem consideration is being given to the development of new legislation that would assist institutions in building an endowment capacity.

Section 169.37 *Grantee selection—Comment.* One commenter suggested that it may not be fair to use as criteria in the selection of grantees under the Advanced Institutional Development Program, the percentage of students graduating or going on to graduate or professional schools or even the percentage of students becoming gainfully employed, since such factors may be beyond the control of institutions because their efforts may have been undercut by the present economic crisis.

Response. In the evaluation process for the selection of grantees in the Advanced Institutional Development Program consideration will be given to the impact of the economic crisis on the above factors.

General comments. A commenter was concerned about strengthening the cooperative arrangement between developing institutions and assisting agencies. The commenter stated that based upon his experience in working in the program he has noticed a lack of initiative on the part of the developing institution to draw consistently on the resources of the assisting agency, and that too often the assisting agency must prod the developing institution into action. On the other hand, he stated that certain assisting institutions pay lip service to supporting the developing institution and are not properly motivated, staffed or structured to offer that support. He suggested that a strengthened reporting system be developed to monitor the cooperative arrangement in a more effective manner.

Response. Developing institutions will be encouraged to draw consistently on the resources of the assisting agency and to work with assisting agencies who are structured and staffed to provide adequate support to the devolping institution. In addition, (1) the developing institution in its periodic progress report to the Office of Education will be asked to state how the assisting agency has strengthened the program and (2) the assisting agency will be asked to state when, where, by whom and how it has carried out its responsibilities for the program. Also, in the institution's annual evaluation, there will be a request for assisting agency input which sharpens the necessity for continuous relationships between institutions and agencies.

Comment. One commenter stated that although multiple year funding is granted in the Advanced Institutional Development Program under Title III, single year funding is still the rule in the Basic Institutional Development Program.

Response. Competing continuation grants (up to three years) are in effect in the Basic Institutional Development Program. Application for support must be resubmitted each year and continued support depends on adequate program progress and the annual Title III appropriation from Congress.

Comment. A commenter was concerned because the announcement of Title III grants is often late in the fiscal year, too late for effective implementation by some institutions.

Response. There have been a number of improvements in the evaluation-funding process for Title III applications that should result in an earlier announcement of grants. However, the timing of grants in dependent as well on the date of passage of the fiscal year appropriation bill.

When the regulations were printed as a notice part (c) of § 169.34 was inadvertently omitted. This part which describes in more detail the criteria for approving long range plans in the Advanced Institutional Development Program has been added.

Effective date. Pursuant to section 431(d) of the General Education Provisions Act, as amended (20 U.S.C. 1232(d)), these regulations have been transmitted to the Congress concurrently with the publication of this document in the FEDERAL REGISTER.

That section provides that regulations subject thereto shall become effective on the forty-fifth day following the date of such transmission, subject to the provisions therein concerning Congressional action and adjournment.

(Catalog of Federal Domestic Assistance No. 13.464; Strengthening Developing Institutions)

Dated: May 7, 1975.

T. H. BELL,
U.S. Commissioner of Education.

Approved: May 27, 1975.

CASPAR W. WEINBERGER,
Secretary of Health, Education, and Welfare.

Part 169 of Title 45 of the Code of Federal Regulations is revised to read as follows:

Subpart A—General Provisions

Sec.

169.1 Statement of purpose.
169.2 Definitions.
169.3 Advisory Council on Developing Institutions.
169.4 Funding limitations.
169.5 Limitation.
169.6 General provisions regulation.

Subpart B—Criteria for Identifying Developing Institutions

169.11 General criteria.
169.12 Quantitative factors for identifying developing institutions.
169.13 Qualitative factors for identifying developing institutions.
169.14 Effect of classification.
169.15 Application requirements.

Subpart C—Basic Institutional Development Program

169.21 Program objectives.
169.22 Cooperative arrangements.
169.23 Grant activities.
169.24 National Teaching Fellowships.
169.25 Professor Emeritus Grants.
169.26 Application requirements.
169.27 Multi-year grants.
169.28 Evaluation and award procedures.
169.29 Allowable costs.

Subpart D—Advanced Institutional Development Program

169.31 Scope and purpose of the advanced institutional development program.
169.32 Cooperative arrangements.
169.33 Allowable activities.
169.34 Institutional plan.
169.35 Program priorities.
169.36 Application requirements.
169.37 Grantee selection.
169.38 Allowable costs.

AUTHORITY: Sec. 301–306 of Title III of the Higher Education Act of 1965, as amended by sec. 121(a) of Title I of Pub. L. 92–318, 86 Stat. 241–245 (20 U.S.C. 1051–1056), unless otherwise noted.

Subpart A—General Provisions

§ 169.1 Statement of purpose.

The purpose of this part is to assist developing institutions of higher education which demonstrate a desire and potential to make a substantial contribution to the higher education resources of the nation but which for financial and other reasons are struggling for survival and are isolated from the main currents of academic life. The Commissioner will support the establishment of cooperative arrangements under which these developing institutions may draw on the talent and experience of the stronger colleges and universities, on the educational resources of business and industry, and on the strengths of other developing institutions in an effort to improve their academic programs, administrative and management resources and their student services. The Commissioner will also support National Teaching Fellows and Professors Emeritus under this part.

(20 U.S.C. 1051–1054, 1056)

§ 169.2 Definitions.

As used in this part:

(a) "Act" means Title III of the Higher Education Act of 1965, as amended.

(b) "Academic Year" means a period of time usually eight or nine months in which a full-time student would normally be expected to complete the equivalent of two semesters, two trimesters, three quarters, twenty-eight semester hours, forty-two quarter hours or 900 clock hours of instruction.

(20 U.S.C. 1051–1054, 1056)

(c) "Developing Institution" is an institution of higher education that is so classified under Subpart B of this part.

(20 U.S.C. 1052)

(d) "Institution of Higher Education" means an educational institution as defined in section 1201(a) of the Higher Education Act of 1965.

(20 U.S.C. 1141(a))

(e) "Junior or Community College" means an institution of higher education (1) which does not provide an educational program for which it awards a bachelors degree (or an equivalent degree), (2) which admits as regular students only persons having a certificate of graduation from a school providing secondary education (or the recognized equivalent of such a certificate); and (3) which does (i) provide an educational program of not less than two years which is acceptable for full credit toward such a bachelors or equivalent degree, or (ii) offers a two year program in engineering, mathematics, or the physical or biological sciences, which program is designed to prepare a student to work as a technician and at the semiprofessional level in engineering, scientific or other technological fields, which fields require the understanding and application of basic engineering, scientific, or mathematical principles of knowledge.

(f) "State" means the several States of the Union, the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, and the Virgin Islands.

(20 U.S.C. 1141(b); 20 U.S.C. 1051–1054 unless otherwise noted)

§ 169.3 Advisory Council on Developing Institutions.

An Advisory Council on Developing Institutions will be established consisting of nine members appointed by the Commissioner with the approval of the Secretary. The Advisory Council will assist the Commissioner:

(1) In identifying developing institutions through which the purposes of this part may be achieved, and

(2) In establishing the priorities and criteria to be used in making grants under this part.

(20 U.S.C. 1053)

§ 169.4 Funding limitation.

Junior or community colleges may receive not more than 24 per centum of the sums appropriated for any fiscal year for carrying out the provision of this part.

(20 U.S.C. 105

§ 169.5 Limitation.

Funds made available pursuant to this part shall not be used for a school or department of divinity as defined in

section 1201(1) of the Higher Education Act of 1965 or for any religious worship or sectarian activity.

(20 U.S.C. 1066, 1141(1))

§ 169.6 General provisions regulation.

(a) Assistance provided under this part is subject to applicable provisions contained in Subchapter A of this chapter (relating to fiscal, administrative and other matters).

(20 U.S.C. 1031–1068)

Subpart B—Criteria for Identifying Developing Institutions

§ 169.11 General criteria.

A "developing institution" is an institution of higher education in any State which:

(a) Is legally authorized to provide, and provides within the State, an education program for which it awards a bachelor's degree, or is a junior or community college;

(b) Admits as regular students only persons having a certificate of graduation from a school providing secondary education or the recognized equivalent of such a certificate;

(c) Is accredited by a nationally recognized accrediting agency or association determined by the Commissioner to be reliable authority as to the quality of training offered or is, according to such an agency or association, making reasonable progress toward accreditation;

(d) Meets the requirements of paragraphs (a) and (c) of this section during the five academic years preceding the academic year for which it seeks assistance under this part, except that:

(1) the Commissioner may waive this five year requirement for those institutions located on or near an Indian reservation or a substantial number of Indians if he determines that such a waiver will increase the opportunity for Indians to obtain the benefits of higher education; and

(2) the Commissioner may waive three years of this five year requirement for an institution if he determines that such a waiver will substantially increase higher education for Spanish-speaking people. For purposes of this subparagraph, Spanish-speaking people are those persons of hispanic heritage including persons of Mexican, Puerto Rican, Cuban, Central American, South American, or other Spanish-speaking origin.

(e) Is, on the basis of the quantitative and qualitative factors set forth in §§ 169.12 and 169.13 respectively, (1) making reasonable effort to improve the quality of its teaching and administrative staffs and of its student services; and (2) for financial or other reasons, struggling for survival and isolated from the main currents of academic life.

(20 U.S.C. 1052)

§ 169.12 Quantitative factors for identifying developing institutions.

The following eight factors have been identified as the most important quantitative measures in assessing whether an institution meets the conditions set forth in § 169.11(e). They have been quantified by institutional type and control. These factors define the range of developing institutions. Every institution which meets all the quantitative standards will be included for further evaluation under the qualitative criteria. Institutions that fall outside the range of one or more of the criteria will be given an opportunity to demonstrate that the shortfall or excess as the case may be does not materially alter the character of the institution.

Title III of the Higher Education Act of 1965

Strengthening Developing Institutions

Percentiles for FY '74 Grantees (AIDP and BIDP) Using Data from '74 Applications

	5%	25%	50%	75%	95%
2-Year Public					
FTE Enrollment	395	766	1,217	2,304	4,122
Full-Time Enrollment	275	672	890	1,609	3,045
% of Faculty w/Masters	40	70	79	83	91
Average Faculty Salary	7,800	8,822	10,113	11,041	14,800
% of Students from Low-Income Families [1]	14	33	47	63	86
Total E & G Expenditures	681,212	1,118,202	1,542,652	2,488,819	6,790,000
E & G Expenditures/FTE	621	1,066	1,341	1,680	2,300
Volumes in Library	10,750	20,913	27,505	34,179	47,000
2-Year Private					
FTE Enrollment	147	265	419	592	1,204
Full-Time Enrollment	123	178	384	546	1,196
% of Faculty w/Masters	60	67	74	81	86
Average Faculty Salary	6,225	7,100	7,886	8,424	9,432
% of Students from Low-Income Families [1]	17	23	38	80	94
Total E & G Expenditures	315,562	379,777	672,865	990,788	1,407,697
E & G Expenditures/FTE	555	973	1,462	2,144	4,001
Volumes in Library	5,510	18,893	21,179	29,239	40,418
4-Year Public					
FTE Enrollment	672	1,702	2,372	3,224	5,290
% of Faculty w/PhD	20	28	32	38	95
Average Salary/Professor	11,460	14,040	15,467	16,315	17,888
Average Salary/Instruc	8,000	8,696	8,905	9,485	10,840
% of Students from Low-Income Families [1]	15	42	63	79	95
Total E & G Expenditures	988,633	2,916,696	3,917,770	8,395,140	10,280,000
E & G Expenditures/FTE	1,101	1,617	1,863	2,402	3,183
Volumes in Library	45,000	75,233	95,000	120,430	242,191
4-Year Private					
FTE Enrollment	346	532	704	1,027	1,865
% of Faculty w/Ph.D	12	24	31	40	49
Average Salary/Professor	9,750	12,000	12,854	13,802	15,840
Average Salary/Instruc	6,883	7,650	8,330	8,871	9,470
% of Students from Low-Income Families [1]	10	24	44	77	94
Total E & G Expenditures	801,890	1,108,871	1,890,827	2,140,888	3,987,714
E & G Expenditures/FTE	1,040	1,820	2,186	2,590	3,746
Volumes in Library	27,500	48,000	57,530	69,000	96,768

[1] For purposes of this subpart a low-income family is one whose adjusted family income is less than $7,500 (20 U.S.C. 1052)

§ 169.13 Qualitative factors for identifying developing institutions.

Those institutions which satisfy the requirements set out in § 169.12 will be further assessed on the following qualitative factors which will be used to assess whether the institution meets the conditions set forth in § 169.11(e). These factors will be evaluated over a three year period. Such period will include the academic year in which the institution is seeking recognition as a developing institution and the preceding two academic years.

(a)(1) *Enrollment.* Consideration will be given to the institution's full-time equivalent enrollment, the number of its graduates continuing their education either at a four year institution in the case of a junior or community college, or at a graduate or professional school, the class standing of entering freshmen in their high school graduating class, the percentage of freshmen completing their first year and the percentage of freshmen graduating from the institution. If such enrollment data are in a decline over the three year period the institution must demonstrate that such a decline is not inconsistent with continued institutional viability.

(2) In evaluating an institution pursuant to the criteria discussed in paragraph (a)(1) of this section, the Commissioner will take into consideration whether the institution has adopted an open enrollment admissions policy. As used in this section an open enrollment admissions policy of an institution of higher education means that the institution will admit as regular students all students who apply to that school for admission who have a certificate of graduation from a school providing secondary education, or the recognized equivalent of such a certificate.

(b) *Institution personnel.* An institution will be evaluated with regard to the quality of its personnel in the areas of institutional administration including financial operations, student services, teaching and research. Factors considered in making such an evaluation will include the percentage of professional personnel with advanced degrees and the salary scale of the institution.

(c) *Institution vitality.* An institution will be evaluated in terms of its vitality and viability. Factors considered in such a determination will include its fund raising capability, whether the institution has a planning capability and whether the institution has devised an institutional development plan.

(20 U.S.C. 1052)

§ 169.14 Effect of classification.

(a) Those institutions which meet the quantitative and qualitative criteria set out in §§ 169.12 and 169.13 will be classified as "developing institutions" for the purpose of this part and for the purpose of section 305 of the Act. Applications for grants under this part will be further evaluated on their merits.

(b)(1) section 305 of the Act provides that in the case of any application by a developing institution for assistance under any of the programs specified in subparagraph (2) of this paragraph, the Commissioner is authorized, if such application is otherwise approvable, to waive any requirement for a non-federal share of the cost of the program or project, or, to the extent not inconsistent with other law, to give, or require to be given, priority consideration of the application in relation to applications from institutions which are not developing institutions.

(2) The programs referred to in section 305 of the Act include the College Library Assistance and Library Training and Research Programs (Title II of the Higher Education Act of 1965 (HEA); 45 CFR Parts 131, 132); the Talent Search, Upward Bound, Special Services for Disadvantaged Students and Educational Opportunity Center Programs (Title IV–A–4, HEA; 45 CFR Parts 154, 155); the College Work-Study Program (Title IV–C, HEA; 45 CFR Part 175); the Cooperative Education Program (Title IV–D, HEA); the National Direct Student Loan Program (Title IV–E, HEA; 45 CFR 144); Financial Assistance for Improvement of Undergraduate Institutions (Title VI, HEA; 45 CFR Part 171); and the Construction of Academic Facilities Program (Title VII, HEA; 45 CFR Part 179).

(3) The Commissioner will not waive under this paragraph the non-federal share requirement for any program for application which, if approved, would require the expenditure of more than 10 percent of the appropriations for the program for any fiscal year period.

(c) A reevaluation of an institution's classification as a developing institution will be made periodically.

(20 U.S.C. 1052, 1055)

§ 169.15 Application requirements.

(a) An institution wishing to be designated as a developing institution shall file an application which shall be in such form and contain such information as the Commissioner may from time to time prescribe and shall include:

(1) The signature of the institutional head;

(2) Data describing institutional participation in Federal programs, both education and other, by program title. The institution shall also state the amount of funds it received under each program;

(3) Institutional data described in §§ 169.12 and 169.13; and

(4) An institutional eligibility narrative in which the applicant shall state the reasons it considers itself qualified to be designated as a "developing institution."

(20 U.S.C. 1052)

(b) An institution located on or near an Indian reservation or a substantial numer of Indians which seeks a waiver of the five year requirement of § 169.11 (d) shall demonstrate how such a waiver will increase the opportunity of Indians to obtain the benefits of higher education.

(c) An institution which seeks a waiver of three years of the five year requirement of § 169.11(d) shall demonstrate how such a waiver will substantially increase higher education for Spanish-speaking people.

(20 U.S.C. 1052)

Subpart C—Basic Institutional Development Program

§ 169.21 Program objectives.

The purpose of grants made pursuant to this subpart is to assist in raising the academic quality of developing institutions that show both a desire for and a promise of institutional improvement in order that they may more fully participate in the higher education community. The Basic Institutional Development program attempts to narrow the gap between small, weak colleges and stronger institutions. The principal means for doing so is through cooperative arrangements in which developing institutions may draw upon the talent and experience of assisting institutions of higher education, including other developing institutions, as well as upon business and industry in the area of faculty and curriculum development, administrative improvement and student services. National Teaching Fellows may be requested to release faculty of developing institutions to further their education, and Professors Emeriti may be requested to make special contributions to institutional needs.

(20 U.S.C. 1054)

§ 169.22 Cooperative arrangements.

(a)(1) The Commissioner may award grants to developing institutions to pay part of the costs of planning, developing and carrying out cooperative arrangements between developing institutions, between developing institutions and other institutions of higher education, and between a developing institution and a business entity, an agency or an organization, which show promise as effective measures for strengthening the academic program, administrative capacity, and student services of the developing institutions.

(2) In each cooperative arrangement receiving assistance under this subpart the developing institution shall be the legal recipient of the grant award and shall be legally responsible for administering the program assisted under such grant.

(b) The types of cooperative arrangements that will be funded include bilateral and consortium arrangements.

(1) *Bilateral arrangement.* A bilateral arrangement is an arrangement between the applicant developing institution and another institution of higher education or an agency, organization, or business entity under which the latter will provide assistance and resources to the developing institution to carry out activities described in § 169.23.

(2) *Consortium arrangement.* A consortium arrangement is an arrangement between the applicant developing institution and at least two other developing institutions which provides for the exchange or joint use of resources to the mutual benefit of all the participants. Such a consortium of developing institutions may also enter into arrangements with institutions of higher education and other agencies, organizations, or business entities for the latter to assist the developing institution in carrying out the activities described in § 169.23.

(20 U.S.C. 1054)

§ 169.23 Grant activities.

(a) The type of activities that may be funded under cooperative arrangements include such activities as:

(1) The exchange of faculty and students with other institutions of higher education;

(2) Arrangements for bringing visiting scholars to developing institutions;

(3) Faculty and administrative staff improvement programs such as internships (including internships for administrative staff), attendance at short term institutes, advanced study including stipends of up to $4,000, and participation in research projects;

(4) The introduction of new curricula and curricular materials;

(5) The development and operation of cooperative education programs involving alternate periods of academic study and business or public employment;

(6) The joint use of facilities such as libraries and laboratories, as well as the purchase of necessary books, materials, and equipment;

(7) The obtaining of specialized personnel for developing institutions in such areas as media, reading, computers, institutional research and management; and

(8) Faculty and salary supplements for a faculty member who is engaged in a special project or activity for the benefit of the developing institution. Such request must be carefully documented and such salary supplements will generally be limited to three (3) years.

(20 U.S.C. 1054)

§ 169.24 National Teaching Fellowships.

(a) The Commissioner may grant funds to developing institutions, independently or in conjunction with the funding of a cooperative arrangement, for the purpose of awarding National Teaching Fellowships.

(b) National Teaching Fellowships may be awarded by a developing institution to junior faculty members of in-

stitutions of higher education other than developing institutions and graduate students who have completed all requirements for a masters degree in the institution in which they are enrolled or who possess the equivalent of a masters degree in related professional experience, whose training and experience will serve the needs of the developing institution.

(c) National Teaching Fellows may be used by the developing institution to:

(1) Assist, through full-time teaching, in the implementation of a cooperative arrangement;

(2) Replace temporarily a regular teaching faculty member and release the faculty member for further training or advanced study; or

(3) Strengthen an understaffed academic program.

(d) Each National Teaching Fellowship shall include a stipend for each academic year of teaching in an amount not to exceed $7,500 plus an allowance of $400 for each dependent of the Fellow. The developing institution may supplement the stipend paid to the National Teaching Fellow, but such increase may not be paid from funds received under this part.

(e) The period of a National Teaching Fellowship may not exceed two academic years.

(f) A National Teaching Fellow may not engage in advanced study that is inconsistent with the Fellow's duties as a full-time faculty member.

(20 U.S.C. 1054)

§ 169.25 Professor Emeritus Grants.

(a) The Commissioner may grant funds to developing institutions either independently of or in conjunction with the funding of a cooperative arrangement to permit such institutions to award Professors Emeritus Grants. Such grants may be awarded to professors or to other skilled higher education personnel who have retired from active service at institutions of higher education other than the developing institution awarding the grant. The Commissioner will award such funds only if he determines that the program of teaching or research for which a Professor Emeritus Grant is requested meets the educational needs of the applicant institution and is reasonable in light of the specific competence(s) of the Professor Emeritus.

(b) A Professor Emeritus may be used by the developing institution to:

(1) Assist, through full-time teaching, in the implementation of a cooperative arrangement;

(2) Replace temporarily a regular teaching faculty member and release the faculty member for further training or advanced study;

(3) Provide specialized competence in a particular area that will serve the needs of the developing institution;

(4) Assist in new programs;

(5) Conduct institutional research or research connected with the development of the institution; or

(6) Strengthen an understaffed academic program.

(c) A Professor Emeritus Grant shall include a stipend for each academic year of teaching or research. The stipend shall not exceed the salary of a comparable staff member of the developing institution and shall take into consideration the retirement benefits being received by the Professor Emeritus. The institution may supplement the stipend of the Professor Emeritus but such increase may not be paid with funds received under this part. Funds may also be awarded to the developing institution for the payment of travel and moving expenses, housing and fringe benefits for Professors Emeritus. Professors Emeritus shall be hired on a semester (or equivalent) or on an annual basis.

(d) The period of a Professor Emeritus Grant may not exceed two academic years unless it is determined by the Commissioner upon the advice of the Advisory Council described in § 169.3 that the additional period is necessary to fully complete the program objective for which the Professor Emeritus was originally requested.

(20 U.S.C. 1054)

§ 169.26 Application requirements.

(a) Each application for assistance under this subpart shall include:

(1) A statement that the institution has been designated by the Commissioner as a developing institution, or if not so designated, a request for such a designation in accordance with Subpart B of this part;

(2) The signature of the institutional head;

(3) The total amount of funds requested for each year in the case of multi-year requests;

(4) The number of cooperative arrangements requested;

(5) The name of each such arrangement;

(6) A listing of such arrangements in order of the applicant institution's priority;

(7) A listing of each institution of higher education, agency, organization, and/or business entity from which the applicant developing institution expects to draw resources;

(8) A program budget; in the case of a proposed multi-year project the initial year budget;

(9) A narrative indicating an overview of the institution's involvement in activities supported under this part. This narrative shall also describe the objectives of the institution's proposed program and explain the relationship between the proposed programs and the overall planned development of the institution;

(10) A program narrative which shall contain a concise description of each program to be undertaken in a cooperative arrangement including the nature and extent of the activities planned as well as the program's expected specific impact (including quantitative results expected) on those institution(s) participating in the program. If National Teaching Fellowships or Professors Emeritus are requested, the program narrative should explain specifically the institution's need for such personnel support;

(11) Letters of commitment from each institution, agency, organization, or business entity, signed by the president of such institution or agency and addressed to the coordinator of the cooperative arrangement. The coordinator shall be responsible for submitting copies of these letters as a part of the complete proposal. These letters shall be used to demonstrate that:

(i) The proposal as submitted accurately reflects the terms of the cooperative arrangement,

(ii) The budget is correctly represented and includes, where appropriate, the dollar value of service or contribution offered by the assisting institution or agency, and

(iii) The institution or agency will carry out its part of the program(s), if the application for Federal funds is approved;

(12) Procedures for the administration of each program as will insure the proper and efficient operation of the program and the accomplishment of the purposes of this subpart;

(13) Procedures as will insure that Federal funds made available under this subpart for any fiscal year will be so used as to supplement and, to the extent practical, increase the level of funds that would, in the absence of such Federal funds be made available for purposes of this subpart, and in no case supplant such funds;

(14) Procedures for the evaluation of the effectiveness of the project or activity in accomplishing its purpose;

(15) Such fiscal control and fund accounting procedures as may be necessary to insure proper disbursement of and accounting for funds made available under this subpart to the applicant; and

(16) Such reports, in such form and containing such information as the Commissioner may require to carry out his functions under this subpart and procedures for keeping such records and affording such access thereto, as he may find necessary to assure correctness and verification of such reports.

(b) The Commissioner will from time to time establish cut off dates for the filing of applications under this subpart.

(20 U.S.C. 1054)

§ 169.27 Multi-year grants.

Multi-year grants may be awarded to developing institutions to provide up to three years of support for the development and implementation of cooperative arrangements. The continued funding of these projects will be contingent upon the continued eligibility of the applicant institution(s), institutional progress, and the availability of Federal funds

(20 U.S.C. 1054)

§ 169.28 Evaluation and award procedures.

(a) *Evaluation criteria.* In addition to evaluation on the basis of criteria set forth in § 100.26(b) of this chapter, the Commissioner will evaluate requests for

program support under this subpart in accordance with the following criteria:

(1) The program demonstrates a major focus on providing a successful educational experience for low-income students;

(2) The program demonstrates promise for moving colleges into the mainstream of higher education as a result of careful long-range planning and substantial improvements in the area of development and management;

(3) The program demonstrates coordination with other Federal, State, and local efforts to produce a maximum impact on the needs of developing institutions;

(4) With regard to junior and community colleges that the program demonstrates that it serves the needs of students in urban areas; and

(5) The program demonstrates good communication between faculty, students, administration, and, where appropriate, local communities in its planning and implementation.

(b) *Evaluation procedure.* Each application for support under this subpart will be reviewed and evaluated by a panel of experts who will advise the Commissioner with respect to funding such applications. The final funding decision shall rest with the Commissioner. When proposals appear equal in merit, consideration will be given to such factors as geographic location, type of program, and national educational needs served.

(20 U.S.C. 1054)

§ 169.29 Allowable costs.

(a) The Commissioner will pay part of the costs that are reasonably related to the development and implementation of cooperative arrangements and the entire cost of National Teaching Fellowships and Professor Emeritus Grants, except that, notwithstanding § 100a.82 of this chapter, indirect costs shall not be charged against the grant.

(b) The purchase of equipment will be limited to equipment that is necessary to achieve specific program objectives.

(20 U.S.C. 1054)

Subpart D—Advanced Institutional Development Program

§ 169.31 Scope and purpose of the advanced institutional development program.

The Commissioner will make grants to selected developing institutions adjudged to have the potential for accelerated institutional development to expedite the institution's progress towards achieving both operational and fiscal stability and participation in the mainstream of American higher education.

(20 U.S.C. 1054)

§ 169.32 Cooperative arrangements.

The Commissioner will award grants to selected developing institutions of higher education to pay part of the cost of planning, developing, and carrying out cooperative arrangements, as described in § 169.22, between developing institutions between developing institutions and other institutions of higher education and between developing institutions and other agencies, organizations and business entities which show promise as effective measures for strengthening the academic program and administrative capacity of the grantee institution. Such grants may be used for curriculum development compatible with changing societal needs, student services including academic and career counseling, and faculty and administrative improvement programs.

(20 U.S.C. 1054)

§ 169.33 Allowable activities.

The type of activities that may be funded include such activities as:

(a) New programs which seek to serve the educational needs of low-income students by providing them with the background required to obtain employment with upward mobility, which seek to move them into professional areas where low-income students are underrepresented, or which equip them to gain admittance to graduate schools;

(b) Programs or projects which allow the institution to structure or restructure itself so that it may relate more directly to emerging professional or career fields; and

(c) Curriculum development.

(20 U.S.C. 1054)

§ 169.34 Institutional plan.

(a) An applicant shall submit with its application an outline of a long range (5 year) plan which shall be in such form and contain such information as the Commissioner may from time to time prescribe but shall include:

(1) The planned institutional programs including:

(i) a description of the program objectives or intended program changes,

(ii) a description of the specific activities or projects for which funds are requested, and

(iii) a description of proposed cooperative arrangements;

(2) The budget for the program and the proposed allocation of funds to each activity or project;

(3) A statement of institutional development goals, describing the planned impact of the funded program upon the institution;

(4) A general strategy for replacing funds awarded under this subpart by the end of the grant period;

(5) A description of steps to be taken, if any, to develop the institutional planning and management capability by the end of the grant period;

(6) A plan for evaluating the progress made by the institution in meeting its goals and objectives including the replacement of grant funds and the development of a management capability if such latter activity is proposed.

(b) The final plan shall be submitted to the Commissioner for approval at such time as the Commissioner may prescribe. Such plan must be approved by the chief administrative officer of the institution, with the concurrence of the governing board of the institution.

(c) The Commissioner will approve a grantee's institutional development plan if (1) the plan provides in sufficient detail the information and procedures originally required in outline form in paragraph (a) of this section and required in § 169.36(a) (8) through (13), (2) the goals of the plan are realistic in terms of the size of the institution's grant award, and (3) the cooperative arrangements and other proposed activities are of sufficient quality to achieve such goals.

(d) All components of the long range plan submitted pursuant to paragraph (a) of this section shall be revised periodically to reflect future program considerations. Significant changes shall become part of the plan upon approval of the Commissioner.

(20 U.S.C. 1054)

§ 169.35 Program priorities.

In selecting grantees under § 169.37 the Commissioner will give preferential consideration to those applicants whose proposed programs are likely to best carry out one or more of the following objectives:

(a) The provision of training in professional and career fields in which previous graduates of developing institutions are severely underrepresented;

(b) The addition of substantial numbers of graduates of developing institutions prepared for emerging employment and graduate study opportunities;

(c) The development of more relevant approaches to learning by utilizing new configurations of existing curricula as well as a variety of teaching strategies;

(d) The development of new or more flexible administrative styles; and

(e) The improvement of methods of institutional effectiveness so as to increase the fiscal and operational stability of the institution and improve its academic quality.

(20 U.S.C. 1054)

§ 169.36 Application requirements.

(a) Each application for assistance under this subpart shall be in such form and contain such information as the Commissioner may from time to time prescribe but shall include:

(1) A statement that the institution has been designated by the Commissioner as a developing institution, or if not so designated, a request for such a designation in accordance with subpart B of this part;

(2) A statement of institutional objectives which take into account the history, development, and continuing or proposed future role of the college. Such a statement shall be based upon the following information, if available:

(i) A description of the local, regional or national geographic area which the institution plans to serve,

(ii) State or regional manpower data including any reports relevant to an assessment of projected employment opportunities for graduates,

(iii) Data on the characteristics of students currently admitted to the in-

stitution including geographical origins, enrollment by sex, aptitude test score distributions at time of admittance, distribution of enrollment by curricular area, enrollment by major field, indications of career goals, and

(iv) Follow up data on graduates, including job placements, location and nature of employment, institutions attended for further study, and fields of further study;

(3) The outline for the long range plan described in § 169.34;

(4) Data on student enrollment and student characteristics including trend data;

(5) Faculty characteristics and trends;

(6) Institutional financial data and projections;

(7) Curriculum range;

(8) Such other information as is requested by § 169.37;

(9) Procedures for the administration of the program to insure the proper and efficient operation of the program and the accomplishment of the purposes of this subpart;

(10) Procedures to insure the Federal funds made available under this subpart for any fiscal year shall be so used as to supplement, and to the extent practical, increase the level of funds that would, in the absence of such Federal funds, be made available for these programs and in no case supplant such funds;

(11) Procedures for the evaluation of the effectiveness of the project or activity in accomplishing its purpose;

(12) Provision for such fiscal control and fund accounting procedures as may be necessary to insure proper disbursement of and accounting for funds made available under this subpart; and

(13) Provision for making such reports as the Commissioner may require to carry out his functions and for keeping such records and affording such access thereto as he may find necessary to assure the correctness and verification of such reports.

(b) The Commissioner will from time to time establish cut off dates for the filing of applications for assistance under this subpart.

(20 U.S.C. 1054)

§ 169.37 Grantee selection.

Notwithstanding § 100a.26(b) of this chapter, institutions will be selected for grants under this subpart as follows:

(a) Initially applicant institutions will be assessed in relation to other developing institutions with regard to those quantitative and qualitative characteristics which are indicative of institutional, academic, and financial strength. Such characteristics include:

(1) The institution's enrollment and the trend of enrollment;

(2) The institution's full-time faculty in terms of size, faculty-student ratio, and academic qualifications;

(3) The institution's present and projected financial position with respect to

(i) Total income,

(ii) Income sources and the amount received from each source,

(iii) Expenditure per full-time equivalent student,

(iv) Rate of growth of income, and

(v) Endowment and gifts as a total amount and as a percentage of income,

(4) The ability of the institution to attract and hold qualified students, as indicated by such factors as:

(i) The percentage of freshmen students who graduate,

(ii) The percentage of graduates accepted to institutions offering bachelor degrees (for junior and community colleges), and graduate, or professional schools,

(iii) The percentage of graduating class gainfully employed;

(5) The ability of the institution to attract qualified faculty; and

(6) The institution's past success in and present capability for formulating and using a plan for the allocation of resources in light of its stated goals and priorities.

(b) Those applicant institutions determined under paragraph (a) of this section to have the greatest comparative degree of financial, academic, and institutional strength will be further assessed in light of the programs priorities reflected in § 169.35 and on the relationship between the type of program proposed by the institution and the financial, academic, and other characteristics of the institution.

(c) In making the assessments required by paragraph (b) of this section the Commissioner will review the information contained in the institution's application and may in addition make site visits to such institutions.

(20 U.S.C. 1054)

§ 169.38 Allowable costs.

(a) The Commissioner will pay part of the cost of developing and implementing a long-range plan for accelerated institutional development except that costs for the implementation of such a plan are allowable only to the extent that they are incurred after that plan has been approved by the Commissioner. However, notwithstanding § 100a.82 of this chapter, indirect costs shall not be charged against the grant.

(b) The institution may not expend more than 10 percent of grant funds for the development or improvement of a planning, management, and evaluation capability.

(c) Purchase of equipment is allowed only if such equipment is necessary to achieve the program objectives.

(20 U.S.C. 1054)

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